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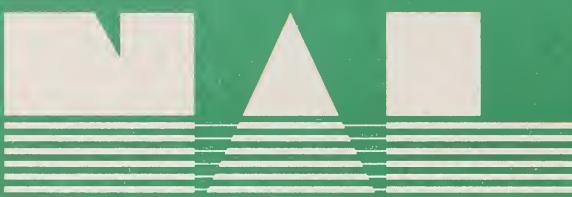
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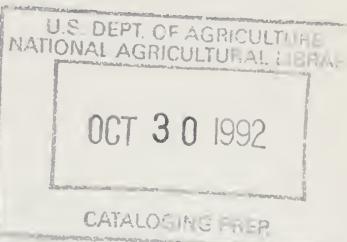
# **DEVELOPING STATE AND LOCAL LEADERSHIP IN A CHANGING SOCIETY**

**JUMP-MCKILLOP MEMORIAL LECTURES  
IN PUBLIC ADMINISTRATION**

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# **DEVELOPING STATE AND LOCAL LEADERSHIP IN A CHANGING SOCIETY**

**WILLIAM A. JUMP - I. THOMAS McKILLOP  
MEMORIAL LECTURES IN  
PUBLIC ADMINISTRATION/1972**

**EDITED BY FREDERICK E. FISHER**

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## Preface

In 1952, the Graduate School of the U. S. Department of Agriculture established the William A. Jump-I. Thomas McKillop Memorial Lectures in Public Administration. The series, over the years, has focused on critical issues of national importance and involved leading statesmen, scientists, and scholars. While this year's effort honored the substantive concern of the series, it did depart dramatically from the usual process of intellectual engagement. "Challenges in Developing Leaders in State and Local Government" was discussed in depth in a very stimulating 3-day seminar by people representing a broad spectrum of institutional settings and geographic locations. The seminar participants were drawn from 22 States including the District of Columbia. While past Jump-McKillop publications have accurately reflected lectures and responses, this particular book combines the formal lectures with related material not presented during the 3 days of deliberation. Finally, the Graduate School has traditionally dealt with issues normally identified with the Federal Government. This series is clearly different and, we believe, exceedingly important. State and local government leadership development is the key to implementation of many Federal policy and program strategies. The passage of the Intergovernmental Personnel Act and the establishment of the National Training and Development Service (NTDS) highlight the need for strong, effective leadership at these levels of government and are concepts dealt with in this publication.

We wish to thank the contributors to this publication and the following members of the planning committee:

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## Introduction

This publication deals with a wide variety of the challenges in developing leaders in State and local government. It may appear not to be characteristic of the more scholarly documents under single authorship. Yet, there is much to be said about any disjointure that may be present in this collection of writings. Each participant approached the subject from his or her perspective and unique experiences. Complete freedom of thought was given those who contributed. There was a certain dynamic about that particular circumstance which was captured in the seminar and lecture series. This book is an attempt to translate that setting as accurately as possible.

Fred Fisher  
*Editor*



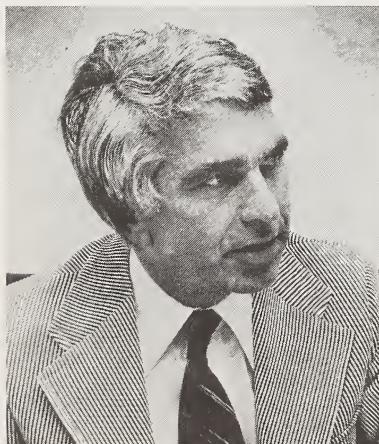
## PART I

### Adapting to a Changing Society



**N. P. Ralston**, Associate Director for Science and Education of the U.S. Department of Agriculture, was Chairman of the 1972 Jump-McKillop Lectures in Public Administration.

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# Adapting to Changing Needs, Values, and Institutions

Dr. Carroll Quigley

Rarely does the issue of leadership get explored in a publication of this kind by an historian. And yet, the discipline of history may hold as many secrets as any other in the exploration of developing future leaders.

The following article by Carroll Quigley takes a far different cut at change, needs, institutions, and leadership development in State and local government.

America today is the wealthiest, most powerful country which has ever existed. In spite of this power and wealth, our country is constantly under threat from violence, discontent, and various forms of neurosis. We have not yet reached the point of psychosis, but in many areas, we seem to be moving in that direction.

In order to understand this situation, I'm going to use the kind of approach which was not used to make us the richest and most powerful country. The methods which were used to build us to this position were generally analytical. Such methods take things apart, measure them, quantify them, and analyze them in terms of a limited number of factors. Identify if you can, an independent variable. This is an analytical approach to any problem: to take it apart. But today we find it more helpful to understand problems by putting them in their context, in their surroundings. In the old days, if a student misbehaved, we wanted to "take him apart" to analyze the

situation—take his temperature, get a blood count, listen to his heart, even get an encephalogram. Today, as you know, we look at his surroundings—his relationship with his family, his girl friend, his draft board, and his whole external situation. This holistic approach is the one I want to use today. It is called the general systems approach.

I shall apply this holistic approach to the four parts of our subject: to change, needs, ideas, and institutions.

Change is the one aspect of human experience which no one can deny; it is the one thing we can be sure will occur. In its broadest aspect, it appears as evolution, something which has been going on for at least 12 billion years. It is still going on, although its forms have changed considerably. I shall define this evolution as a process by which new organizational patterns give rise to quite unexpected and unpredictable characteristics. This is why we cannot understand things by taking them apart, because their characteristics result from the fact that they are together in a certain pattern. Thus, oxygen and hydrogen came together in a certain pattern in the evolutionary process and made water, but we could never predict what water would be like by adding together the characteristics of oxygen and hydrogen.

Evolution, in the way I have defined it, began billions of years ago as plasma, simply disorganized energy. Through the evolutionary process, plasma formed more and more complex structured patterns as it expanded, for billions of years, in five dimensions. These five include three dimensions of space, one dimension of time, and what I call the dimension of abstraction—the dimension growing from the most concrete structures to more abstract patterns. We could divide the whole evolutionary sequence into five or more stages, beginning with inorganic evolution, from energy, through the evolution of the elements, to the evolution of compounds (such as water), and on to more and more complicated compounds, which eventually lead to organic evolution, through organic molecules, to cells and to organisms. These last continued organic evolution until they produced man, and thus gave rise to social evolution. The latter continued, giving rise to new characteristics, which came to include spirituality, rationality, and so forth.

I can put the dimension of time going from the past to the future from left to right, and put the fifth dimension, the dimension of abstraction, from bottom to top. We can leave the dimensions of space out. All of history, including all of human history, has taken place in a manifold of continua in five dimensions.

Why do I go into all this? Because man is today a consequence of his evolutionary past, and no more so than in the fact that he has diverse needs arising from his evolutionary past. He has, on the lowest levels, inorganic needs for space, for time, even for oxygen; above those he has organic needs, for food, clothing, and shelter. But between those two levels, he has the need for security, because that is even more fundamental than food, since man cannot even eat under conditions of complete insecurity. Above these three levels, he has needs of a social kind, sex, reproduction, companionship of other humans. I'd like to point out the primitive degree of our understanding of these matters because the relationships between the sexes and the bringing up of children has gone on for millions of years; yet there are few things about which we are more ignorant than these two activities. Maybe that is why we now have Women's Lib.

Thus, within the process of evolution, we have man as a complex being spanning a considerable range of the dimension of abstraction, with numerous needs along that dimension, from the most concrete to the most abstract, ending with his most recently acquired needs: his emotional, spiritual, and rational needs. Man has a hierarchy of needs, and from his diverse activities seeking to satisfy these needs he has developed those patterned relationships of action, feeling, and thought which we call "culture." Also, man always lives in societies, which are always made up of people, tools, technology and patterns of actions, feelings, and thoughts which involve both people and artifacts.

Man tries to satisfy his diverse needs by applying his tools and technology on the external world outside his society. He tries to satisfy his needs for security by applying his military and political tools, artifacts, and technology against other societies, and he tries to satisfy his economic needs by applying his economic system on the resources which are in nature (or are held by other societies).

Each society socializes the needs of its human members into special desires which are distinctive of that particular society. As human beings we may be born with needs, just as we are born with potential characters, but, as we grow up in our particular society, our innate needs are changed into desires, just as each person's innate character is changed into a personality with its own specific traits. Thus, we do not seek to satisfy human needs. We seek, instead, to satisfy the desires we have acquired from our experiences in our society. If we are hungry, we do not desire food. Instead, if we are Americans, we desire steak and potatoes. If we are North Africans,

we may desire roasted locusts. But if we are from Iceland, we yearn for pickled whale blubber, which neither Americans or North Africans could stomach. But these desires, as you see, are simply the socialization and culturalization of the basic human need for food.

The situation is the same for all human needs, even the most concrete and the most abstract. Humans need military and political security, but what they want differs from one society to another. In Europe, a small area with numerous and relatively equally balanced powers, men find security in a balance of power. Even when they have an equally strong or even a stronger power on their frontier, they see an ally on that neighbor's rear or flank. But in Russia, China, and the United States, where for generations there were no significant powers along the frontiers, people feel secure only in what I call "a planetary power situation." That is where people who live in a Great Power are surrounded by satellite states. In such a situation the people in the Great Power feel very insecure about the presence on their frontier of even an insignificant state, if they regard it as unfriendly, as Americans feel about Cuba, as China feels about Taiwan, or as Russia feels about Finland. We would not feel safe in a balance of power system because we have been socialized to feel safe in a planetary system. What Kissinger is trying to do, if he can pull it off—and it will be an incredible achievement if he succeeds—is to shift us from a planetary system of security to a balance of power by dividing up the world into great blocs, in which China is balanced with Pakistan against India and Russia; the latter between a integrated Europe and China; with the United States outside this balancing system, just as Britain was outside the power balances of Europe in the 19th century. If he is successful, the United States will be as secure with freedom of action in the late 20th century as Britain was in the late 19th century.

The distinction between needs and desires applies to all levels of the hierarchy of needs. We may need sex, but we may desire Sophia Loren. We may need to move around, but we insist on a Cadillac, or even a Porsche. We need emotional, spiritual, and intellectual experiences, but we seek these in all kinds of socialized ways, many of them irrational.

I have said that man has a hierarchy of diverse needs, which he tries to satisfy in a hierarchy of activities on a hierarchy of operational lines. I usually divide this hierarchy, which lies along the dimension of abstraction, into seven or eight levels. Starting at the bottom with the military, we move upward through the political, economic, social, emotional, religious, and the intellectual. An

operational line goes up through the hierarchy, as it moves from its input end along to its output end, because the lower levels are closer to the external world, while the upper levels are closer to the egos of individuals. This relationship is closely concerned with the crisis we now face in America.

When a society is progressing and expanding, the satisfying of human needs increases by what we call "intensive" expansion. Intensive expansion occurs when output of satisfactions increases faster than the increase in using up resources. When a society is in crisis, it tries to increase the output of satisfactions, not by improvements of techniques or methods, but by quantitative increases in resources out of proportion to the increase in output. This is called "extensive expansion." Today our society is in crisis because of the general tendency to seek "growth" by extensive rather than intensive methods. In military matters this can be seen in the insistence that greater security can be obtained only by more money, more men, more equipment of all sorts, just as in education we are told that more money, more schools, more teachers, and more equipment will provide the solution to our problems. In transportation the same ideas are propagated: that we must have more highways, more money, more horsepower, and more cars. In every case we are told that we must seek quantitative solutions, while qualitative solutions are ignored or given only lip-service. The emphasis is always on extensive rather than on intensive solutions.

Closely related to this trend is the fact that a society in crisis such as ours reverses the influences on its operational lines. In a progressive era, the influences are generally from the output end of the line, with needs and desires dominant, and means subordinate to these ends. But in an age of crisis, the means becomes ends, to the degree that technology and its pattern of activity are dominant over desires. As a consequence, lower levels have come to dominate higher ones, so that the latter are generally unsatisfied and frustrated.

Another aspect of this situation is the displacement of satisfactions. That is, emotional needs try to find satisfaction on the military level or in seeking power or in amassing great wealth, while religious needs seek expression in ideologies such as nationalism, marxism, or other secular religions. Dissatisfactions of all kinds find outlets in speed, in overly powered automobiles, in sex, alcohol, narcotics, or other irrational outlets.

All of these growing aspects of our way of life today make our most vigorous efforts to find satisfactions counterproductive. The

harder our efforts, the less satisfaction we obtain. Our artifacts and patterns of behavior are no longer instruments serving needs but are institutions serving their own vested interests. Most of our lives today are involved with institutions which need to be instrumentalized—forced to modify their operational activities so that they once again satisfy needs, and not simply the way in which the people in them earn money.

The role of ideas in our crisis can be found if we go back once again to human nature. Man is an omnivorous, unspecialized, complex, cooperative animal. This is just about the opposite of what people like Robert Ardrey have been telling us. Ardrey and his friends are not scientists, but persons portraying men as murderous, violent, competitive, hereditary (sic), specialized carnivores. I have no time to point out that this is nonsense, but anyone who knows anything about the human digestive system can see that it is not that of a specialized meat eater; the teeth are not those of a carnivore, the fact that the saliva breaks starch down to sugar, the great length of the alimentary canal, and many other details show the digestive system of an omnivore in which meat eating is only incidental.

Our knowledge of prehistory shows us that man did not become a real hunter until quite late, not before the invention of the spear, which is not earlier than 700,000 years ago, while man's ancestors have been living on the ground for over 3 million years. Moreover, cooperation was always necessary for man's survival, and this need was increased when he became a hunter. Cooperation is still essential to being human for many reasons, one of which is man's unspecialized nature, but even more so because of his immaturity. Man can do nothing for himself until years after birth. He must be kept and protected by cooperative action. This continues even when he becomes an adult.

In order for man to communicate by symbols and to think, it was necessary to divide up human social experiences into categories to which sounds could be given. Furthermore, valuation was put on these categories. Such a system of categories and valuation is known as a cognitive system. Just as each society has its own technology and social customs, so each society has its own cognitive system.

Every society must divide time, the fourth dimension, in order to talk or think about it. Moreover, the values which any society puts upon those divisions determines, to a considerable extent, the attitudes and actions of the members of that society. We divide time into two parts, the past and the future, with the present, as a

moment with no dimension, separating the two. Furthermore, in much of our society, especially among middle class people, we put high value on the future. This is called "future preference," and means that we are prepared to make very great sacrifices of leisure, resources, and enjoyment in the present for the sake of some hypothetical future benefits. That means we will discipline and drive ourselves to study, to save, to plan, to restrain our pleasures, in order to invest, to look ahead, to give our children every advantage in education, etc., all for the sake of the future and for our retirement.

Just look at the volume of life insurance payments in our society. But in Bantu-speaking Africa, tribal peoples divide time into three parts, a present of long duration, a future of little depth, and a past as long as tribal memories can go. Moreover, such Bantu peoples have present preference. They see no reason to restrain themselves in the present (such as in sexual activities) because of something which might possibly happen 9 months in the future. The same is true of much of their cognitive system and value system; at any rate, it is totally different from that of middle class Americans.

The nature of a cognitive system determines much of what happens in a society. I divided man's nature into numerous levels, but in our society traditionally we have divided man into only two: spirit and flesh. Eight hundred years ago, most men wanted above all else a future of spiritual salvation in heaven. That is where our future preference came from, but in recent generations we have kept the future preference, but moved it down into the material world, what is called "the secularization of future preference." That is why we work so hard for future wealth and for retirement. This means that we have materialized our value system and are almost obsessed with our relations with material possessions, property, cars, and valuable objects. The Bantu, however, put their values on interpersonal relations. Thus we can see the contrast of three different value and cognitive systems: spiritual as we used to be; material and artifactual as we are now; and interpersonal as tribal Bantu are.

It is the failure of Africans to adopt future preference in an artifactual, materialist, value system which has been the great obstacle to "economic development" there. Even if we exported all our machinery, capital, technology, and training to Africa, they would not use them the way we do since they do not have our cognitive system, which is almost impossible to export.

Since cognitive systems are based on the experiences people receive in the circumstances in which they grow up, each society has

a different one. In very complex societies such as ours, different social classes, even different religious groups, such as the Amish, or even different races, may have such different experiences in the socialization process that they end up with different cognitive systems. Then they have great difficulty even communicating.

That is what is happening with our youth today. The children of the middle classes are in revulsion against the cognitive systems of their parents. They are trying to be like the Bantu, seeking present preference, interpersonal relations, freedom from accumulating possessions and even from private ownership, in contrast to their parents' future preference, materialism, relations with objects, and pride in ownership. In our society, the few aristocrats have past preference, the many middle class people have future preference, and the various lower classes tend to have present preference. Since the last is what the children of the middle classes are seeking today, they seek out and seem to get along better with the lower classes.

These rebellious youths insist that their parents feel nothing real, that their feelings are paralyzed by conventions and phony values in "plastic" surroundings. This generational civil war in our society has happened in history before, but in the present case it is not only a war against their parents' values but against their categories, and in fact against any categorization of experience, against all organizational structures and patterns, because they insist that anything which is organized or patterned is artificial and hypocritical, lacking in sincerity. There is some merit in this contention, but there is no merit in the contention of rebellious youth that categories aren't necessary. Thought and real communication is not possible without them. On the other hand, it is quite true that real feeling is not possible with them.

The young are quite correct in saying that real emotional experience must exist on an existential, moment-to-moment basis, a unique experience of nature or of another person. They are equally correct in saying that artifacts and organizations (especially bureaucratic organizations) are obstacles to real feeling or emotional experience, and that there is something wrong with a person who gets his deep emotional satisfactions out of his relations with General Motors or ITT.

Our society today is so cluttered up with artifacts and organizations from the cradle to the grave that any person finds it very difficult to get free of these to experience any real existential feelings. This is one of the reasons why we have so much displaced or

even misplaced satisfactions today. It is also why we have so many irrational actions, so much use of narcotics, so much obsession with sex, so much violence. In intellectual history I have usually called the 20th century the age of "irrational activism" because the emotional frustrations of the period lead its people to embrace any cause or any movement which will give an excuse to act, to be associated with other people in some common task, to experience togetherness in action. This is why our period is full of agitations, marches, and confrontations.

The evidence that most confrontations are based on frustrated need for emotional expression is seen in the fact that the confronters subside so soon after the action, whether they get their demands or not. In fact, there is usually little connection between the demands and/or the action. If they get their demands too easily, they present new demands; if they get their demands after their quota of emotional experience, they frequently make little or no use of what they asked for, such as votes at 18, seats on faculty committees, release of confidential files, etc.

If much of this emotional frustration comes from too many artifacts and organizations, some of it comes from too little expression of social and religious needs. The disintegration of all such stable relationships, especially the disappearance of local communities and intimate kinship groups, have left us in a society where such relationships are not provided but have to be created by each individual personally, and few persons know how to do this, or are even capable of doing so, if they have not had satisfying personal relationships previously, as in their families. One result of this is that the only intimate personal relationship which most of us achieve is the marriage relationship. Our high level of frustration on most other relationships has led us to try to put all our emotional needs on this single relationship with the girl we married.

We have invented a myth to justify this, the so-called romantic theory of marriage. This is the belief, more prevalent 50 years ago than today, that marriage is made for love, with the only girl in the world, who will be recognized almost at first sight and will be cherished 'till death. That was the theory, but in fact, in our society we traditionally married for quite different reasons, for sex in the case of the man and for economic or social reasons in the case of the girl. The girl used to be told from childhood to make "a good catch," not to bother with the butcher's boy, but to find a professional man or a successful businessman. When I grew up in the 1930's, we

listened to the "Hit Parade" of popular songs each Saturday night. Almost every song was about that one and only love, all-encompassing and totally satisfying, and most of my generation believed this even after they did marry and for quite different reasons. But such beliefs and expectations put on a marriage emotional demands which it could hardly bear, and left the average American marriage a brittle arrangement which could break almost without warning.

Even outside marriage, Americans have been left with few arrangements for expressing their higher needs for feelings. They seek such emotional expression on other levels and on desires and symbols which have little to do with real needs. Among these are secular religions such as ideologies, or nonevidential religions which have little clear justification for belief. Many young persons who reject the beliefs of their elders, such as loyalty to our flag, as secular religions give their loyalty to a real secular religion such as marxism, or join with some esoteric religious groups based on Yoga, or Buddhism, or Zen, astrology, psychoanalysis, or self-knowledge. They shave their heads, wear exotic clothing, and run around with begging cups, strumming musical instruments or selling sectarian news sheets. Or they take an intensive 5-day course, costing several hundred dollars, held in some motel, guaranteed to reveal the most profound secrets of the universe, which always turn out to be inside themselves.

There are two basic problems in our society today. First, most artifacts and organizational structures have ceased to be instruments and have become institutions, so that they are obstacles rather than aids in satisfying human needs. The result is that our lives are almost smothered in nonfunctioning artifacts and organizations, with great frustration of such needs and wholesale transformation of needs into mistaken desires. Second, our whole society and our culture have become lopsided in their devotion to materialist, quantitative, externalized, artifactual aspects, based on gross growth on the lower levels of needs.

What then can be done? Many people are saying that there is only one solution: revolution. I was once a specialist in the study of revolutions. I never saw a good one, and that includes the American Revolution. Revolutions destroy; they do not construct. We need reform or circumvention. Reform means making institutions back into instruments. Circumvention means leaving institutions with many of their privileges and emoluments, but taking away their functions to be given to new organizations.

# Everything You Always Wanted to Know About Change (But Were Afraid to Ask)\*

Warren G. Bennis

The title of the following article by Warren Bennis, President of the University of Cincinnati, contains a bit of irony. Scheduled to be the keynote speaker for the lecture series, Bennis was forced to cancel at the last minute due to a campus crisis. It's not an unlikely act by a university president in this era, as many of them are learning everything they always wanted to know about chaos (without even asking).

Change may be the biggest challenge that must be dealt with in developing State and local leadership for the future. Warren Bennis speaks to the issue with clarity and insight in this reprint from *Environment/Planning and Design*.

Change is the metaphysics of our age. There's no need to go into the various shock statistics people cite when they talk about the rate of change in our society, because it's the bread and butter of commencement speeches, of Sunday magazine sections, of all sorts of newspapers, etc., etc. We have books like FUTURE SHOCK,

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\* Reprinted from *Environment/Planning and Design*, Summer 1971, with permission.

books called the TYRANNY OF THE TRANSITORY. I wrote a book myself with Phil Slater a couple of years ago called THE TEMPORARY SOCIETY. The metaphors are all here.

What's really fascinating to me, is how nothing seems to deter man's almost compulsive desire to unsettle, overthrow, or reject the accepted conventions and traditions. Ecclesiastes, in the Old Testament, glumly observes how man continues to disorder and unsettle his ways. It is a puzzle, because when you look beyond the recent crisis of change in our society and organizations—when you look deep down and see the human tragedies of people and organizations, you realize that's largely what life consists of these days.

I remember my first year at the State University of New York at Buffalo, where I and some of my colleagues from east coast and west coast colleges had been brought in to take an upstate college into the 20th century with a bang. I talked to a man who had something of a reputation in his field, and who, I felt, was very sad about the changes that were taking place. I noticed how in the course of 6 or 7 months he began to look like a much older man, though he was only in his mid-fifties.

He used to walk past my office window almost daily; his shoulders seemed to get more and more stooped as each day went on. Sad affair. He confessed how unhappy he was about the new regime—how angry he felt toward the new president, because the president hadn't consulted him on a number of matters he thought he should have been consulted on. He said "With the former president, I was in his office every day. I used to do all sorts of things for him. And I used to be called one of his 'commandos.' Now I just feel shoved aside."

Most of the book FUTURE SHOCK is a long footnote about what I've just been observing. Yet, I'm puzzled by a whole set of questions. Our organizations and institutions have to change for all kinds of reasons. But in seeing through the crisis of change to the human and organizational tragedies—like the man with the stooped shoulders—you realize that some people are going to be hurt. It is a dilemma.

All of my education and working life has been involved with change. I started off as an undergraduate at Antioch College, an interesting place to me for two reasons. One was its concern with public service and the application of social knowledge to influence society, opinion, and policymakers. The other was that its president at that time, Douglas McGregor, had a great influence on me. He was

one of the founding fathers of the Bethel, Maine, T-group movement, one of the pioneers in group dynamics research and application in this country, one of the first to apply the behavioral sciences to organizational behavior and business. I became interested in small group behavior, which led me to M.I.T. for graduate work in an interdisciplinary program with an emphasis on social psychology. At that time, M.I.T. was the leading intellectual center of group dynamics research in this country, attracting many people in psychoanalytic and social sciences involved in group work.

Our study of the small group model led us to some especially interesting insights into understanding how change and innovation occur. Using the small group model, social change is based on a “Truth/Love” model. The assumption behind small group theory is that if we present enough valid data to people and develop a relationship of trust and affection and love, then change can come about. The theory relies on the idea that trust is an historical concept based on repeated interactions. That, if there’s enough trust, and enough truth, most changes can take place. This is in contradistinction to a model of change based on dissensus, or conflict, or people operating on political, social, or economic interest facts.

The small group model of change also avoids situations where some people can lose. By and large, the literature in small group theory emphasizes the consensus model, which means that nobody gets too badly hurt.

The third aspect of the small group model is that social change tends to take place in an environmental void. Change can come from within, change agents are indigenous to the group, and the group is adaptive to cope with changes from forces within the group.

For those who create and manage change, there are many models to choose from. One is the “Truth/Love” model described above, which can also be called the “human relations” model. It relies on three things: participation of the people involved in the change, which is what most of us want; trust in the people who are the basic proponents or advocates, or leaders of the change; and, third, clarity about the change. That is, what it’s going to be. If those three factors aren’t taken into account, tremendous mistakes occur when changes are made.

The clearer one is about what the innovation is going to be, all things being equal, the better the chance that the change will be adopted. The more participation of the people to be affected by the change, the better are chances for adoption, and for acceptance

rather than limitation. The more trust in the people advocating the change, the more implementation follows.

But just to take one problem—clarity. It's very difficult to make innovations really clear. In fact, one of the most interesting things about innovation is that it's really a kind of inkblot. It's a projective screen. And it's *seductive* as well as projective. People can project their most anxious fantasies about it, but it also seduces interesting people into it, who are usually of two kinds—those who are rebellious and disruptive, and others who are more moderate establishment types.

*There's some data from research to indicate that the human relations model works. Unfortunately, however, it doesn't work often enough. Clarity, participation, trust—they can't always be brought into the innovation. Sometimes you have to use the "Power" model.*

Despite all the nice things I've said about the human relations model, *it is a fact that there has been no really basic radical restructuring of any institution by consensus*. The only time restructuring of any institution has ever taken place is when someone in power says *it will* take place. Why? Because people have a terrible time restructuring themselves when they fear that their status, their power, their esteem are going to be lowered.

Between these two extremes of the human relations model and the power model, there are other, perhaps more subtle, models. At Buffalo, for example, when I set up the new nondisciplinary department of social sciences, I was only able to get away with it partly through power. It was clear that I wanted it very badly, it was clear that this was the honeymoon period of my stay there, and it was clear that I had come to Buffalo in order to set up the new department. It was also very clear that I had money from Ford. Even with all those forces, the only way I could really get it through the faculty was by setting up the idea of a *temporary system*. And by saying, "What we're going to do is look at this program 5 years from now. We'll call it a program and not a department, and we'll evaluate it by certain criteria."

Part of my ulterior motive was to get the departments as well to evaluate themselves. What I really had in mind was this: "Wouldn't it be marvelous if you made all departments temporary programs?" Instead, what happened is that less than a month later, the faculty made this new program a department. They were more than a little concerned with the notion of a program. So they legitimized

something, partly for me and partly for their security, long before it should have been legitimized. And now it's permanent.

There's a great story about Berkeley, where in the last 10 to 15 years 88 centers were established to function interstitially between the more formal departments. Not one of them has been terminated, with but one exception. That was a one-man center, and the man died.

We have an awesome capacity to perpetuate things long after their reason for existence has passed. Which is why I believe in built-in rules of destruction for some situations.

My plan at Buffalo didn't work. I got the program, but I lost the principle . . . and I was almost more interested in the principle of temporary systems. You can restructure, but restructuring has to come from above. At Buffalo, we restructured the whole place in such a way that you could remove lots of people from power without confronting that issue of status deprivation, or of people being fired. We removed the anxiety. Or rather, we tended to thwart it. At least, for a while.

All groups in general, but professional groups in particular, do not change unless they are forced to, and they are forced to usually by three different means.

One thing that forces change is the "young turks," which I call cabals. I have a funny distinction, which is arbitrary. I always think about organizations and change in terms of two groups: the cabals and the cliques. The cliques are in power. They have the dough, the resources, they're the establishment. The cabals are usually the younger people who are fighting the cliques. There's a high price to pay in this situation, because it really means revolution. It means that the cabals ultimately take over. Good cliques know how to co-opt cabals. They absorb protest and establish a new equilibrium through a very interesting and important way of politics, which is to co-opt. And when they don't co-opt, they get into very deep trouble. One can almost do a forecast of the growth and adaptability of professional organizations on the basis of how they deal with their younger people coming up. Do they kick them out, or do they try to co-opt them?

Talk to young architects, for example. The cabals are gaining a lot of strength, and the changes in society are more or less allied with the cabals. At the same time, our systems of education do not encourage significant change, by and large. One of the big mysteries in my life is how graduate education can be so basically authoritarian and still produce people who grow up to challenge the system. How

is it that these young architects, who have been trained by other architects with an older “paradigm” of what architecture is, are challenging their older colleagues to their very cores? I think they’re getting away with it now because society simply cannot afford to develop another generation of narcissistic architects who want to put up their own beautiful mementos. You now have to think about many people-environment interactions; you have to think about systems. You have to think about the three major deficiencies experienced in all institutions nowadays: purpose, community, and power.

Another way organizations change is through external events: the forces of society impinging on the organization. Professional groups are particularly immune to change from this source. It is very difficult to get them to redefine their professional competence, because it really seems to be a blow to their narcissism, and what you get is a guarded and defensive response.

When I was at Buffalo, I found that my department chairmen would rarely respond to any reality hitting them, except from the narrow viewpoint of their own disciplinary department. This is true of all organizations and institutions. The Army fights the Navy. But it is more severe within professional groupings. I used to kid my department chairman by reminding him of that old story of the Jew, who, when he read the newspaper would ask only one question, “Is it good or bad for the Jews?”

Change through external events is usually bad for the “Jews.” It’s bad for the profession and the organization when it happens.

The third way change comes about is more profound. If I had to define what is the most important thing about change in professional and organizational life, I would answer in terms of what might be called the “culture” of a profession, or the “paradigm” of a profession.

In a marvelous book called THE STRUCTURE OF SCIENTIFIC REVOLUTIONS, Thomas Kuhn wrote about how advances are made in science. His basic concept is that there’s something called a “paradigm” in science, something akin to a *zeitgeist*, or a climate of opinion which governs the choices made. Here are his words:

. . . The constellation of values and beliefs shared by the members of a scientific community, that determines the choice, problems which are regarded as significant, and the approaches to be adopted in attempting to solve it.

Kuhn’s point is that the men who revolutionized science were

always those who changed the paradigm. One of the interesting changes in paradigms today, for example, is in the social sciences: the deep concern with the conscious, introspective, phenomenological aspects of personality or the subtle shift away from logical positivism toward intervention research.

The professors are saying, “The subjective consciousness is just your feeling, let’s talk about objectivity.”

The students are saying, “I know what I feel.” (Or rather, “I *know* what I feel.”) Their revulsion against the strategy of truth based on symbols that are both verbal and quantitative is very big. There’s a real collision of these two paradigms right now, one based on the more accepted canons of science, the other based on subjective feelings.

Max Weber, the sociologist, was interested in the same phenomenon. Writing about how scientific change comes about, he said:

At some time the color changes. Men become uncertain about the significance of their viewpoints, which they have used unreflectively. The path becomes lost in the dusk. The life of the great problems of culture has passed on. Then science also prepares to change its standpoint and its conceptual apparatus in order to look down from the heights of thought upon the current of events.

Paradigms, “domain assumptions”—as Weber called them—they’re all talking about the same thing. What is it that governs what a profession does? How does it deal with dissent in that group? What information does it use to change and adapt itself? And how do we in the professions—and in industry—identify, locate, and reward people who are *role innovators*? That is, people who don’t just change the content of a particular discipline, but change its practice.

Role innovators shift the whole paradigm in a practice sense. A Ralph Nader has totally shifted a paradigm of practice about the law. When he was at Harvard Law School, he got but one course that had anything to do with consumers. And that really didn’t have much to do with consumers. It was on torts, which was the closest thing to it.

Freud, of course, is a great example of a role innovator, as is Keynes, or Samuelson, or Gropius. What they did was to create a new metaphor of practice in a way that was very compelling, that was not only scientifically valid, but that had a rhetoric and appeal that people found hard to deny.

Innovation—a new paradigm, a new way of practice, or a role innovation—has to be compelling, because preexisting theory and

practice are never replaced by data disconfirming them. They are only replaced by a new theory or practice, not by data, not by studies which show that the old way no longer works.

It is not so much the articulation of goals of what a profession *should* be doing that creates a new practice. It's the imagery that creates the understanding, the compelling moral necessity that the new way is right. You have to ask, "What are the mechanisms?" It was the beautiful writing of Darwin about his travels on the Beagle, rather than the content of his writing, that made the difference. Because the evolutionary idea had really been in the air for a while. There were not only parallel mentions of it, but Darwin's uncle had done some of the primary work on it. It was Freud's five cases, it's Erickson's attention to the specimen he chooses, that makes all the difference. It's Kenneth Burke's "representative anecdote."

If I were to give off-the-cuff advice to anyone trying to institute change, I would say, "How clear is the metaphor, how is that understood? How much energy are you devoting to it?" Because I think it's more energy than it is courage.

Another thing I would ask is, "How well are you policing the people who give birth to what is called the 'Pinocchio' syndrome? That is, people who take your ideas and then convert them, distort them, and create real problems for you?"

Innovations are always seductive and bring in interesting people, some of whom do not, in fact, gain you adherents, but instead lose them. I've always thought Branch Rickey was one of the greatest change agents. Before bringing the first black ball player into the Brooklyn Dodgers he made sure he was impeccable, that he was the best. You can't always do this, but you must try to evaluate the embodiment of innovation in a more vigilant manner than you would when filling more orthodox positions.

In innovation, you get a sense of wanting to proselytize. The eagerness to gain adherents often leads to problems about standards. One doesn't want to be old-fashioned about it, but there is a question.

There's another thing that worries me about innovation in the present situation. Historically, innovations have occurred during periods of economic abundance and plenty, because then the cruel collisions between two paradigms can be somehow mitigated through running parallel institutions, or through adding and increasing and expanding. It's tough when you're in a situation where you're both

clamoring for the same resources. This is why I'm not sanguine right now about almost any innovation.

How do you identify and develop role innovators? How do you spot new information in institutions, organizations, professions, etc.?

I've discovered that people who are very sensitive to changes of a realistic kind are very often marginal to the institution they're a part of, almost in a geographical sense. They're cut off and not seen as good "company men." They have contacts in other areas, other institutions. Often they're not rewarded, because they're seen as troublemakers, mischievous. Quite often organizations respond to them by reducing their rewards, in turn causing a lowered commitment, which in turn usually leads to more deviant and perhaps, finally, disruptive behavior. It's a sort of vicious cycle.

Sometimes these so-called marginal men take on other jobs which realistically make them less committed to the institution. I did a study on this in industry and tried to identify these people, whom I call (my social sciences term) "variance sensors." That is, people who have a flair for detecting discrepancies between what that institution *should* be doing, and what it *is* doing. Organizations quite often regard these variance sensors as marginal—as bitchers, trouble-makers, and what not. But frequently, if they are not seen as too idiosyncratic, and can be rewarded, they can be the most valuable people in the institution. Because they're almost at the membrane, geographically, sociologically, and psychologically speaking. If an administrator tries to identify these people and make them his own tentacles of change, and bring them together, that's one force for inducing role innovation. I tried to do this at Buffalo, choosing people who were variance sensors yet who were viewed with some respect by their colleagues. Maybe a little bit crazy, or different, but respected. I brought these people together and used them almost as extensions of the things I was interested in.

You can also use more formal political rewards for role innovators, by giving them power, money, status. It's that simple. Quite often I also brought in review boards from outside, people carefully selected in part by me, in part by the particular group affected by the innovation. This can be a useful tactic to prevent the innovator from coming into daily conflict with the resistors. It legitimizes and validates whatever changes are taking place.

With or without gimmicks like review boards, however, you can simply create a climate which allows accepted conventions to be

questioned and challenged. And by God, we'll have to, because this is exactly what's happening with the bright young people coming into these institutions right now. It's a kind of juggernaut situation. If you look at the new and the old culture, along the authoritarian personality scale, along sociological scales, it's very clear what the value differences are. A lot has to do with openness and candor versus the kind of loyalty to accepted conventions, to the kind of secrecy which most institutions seem to use. How do we create a climate of candor and openness, where we embrace error, rather than aim for the safe low-risk goals that get eventual payoffs and rewards? This is especially needed in professional organizations, which are not high-risk institutions. Like the university, in my view one of the most medieval of institutions.

What I consider to be the most significant aspect of change is something like this. Organizations, by definition, are social systems where people have norms, values, shared beliefs, and paradigms of what's right and what's wrong and what's legitimate and what isn't, of how practice is conducted. One gains status and power on the basis of the agreement, concurrence, and conformity with those paradigms. How can you, within a profession, change the paradigms from within, without being seen as too deviant, or too divisively disruptive? How can you learn to evaluate information which might be interpreted as antithetical to the particular paradigm which then holds? How do you identify and reward people who continually are dissonant in the organization, who are dissident by continually questioning. Not people who play devil's advocate, for I'm not in favor of establishing and legitimizing roles called "Devil's Advocate." I know too much of what happens to these people. You begin calling someone the Devil's Advocate. You listen to that person's opposing point of view—all the while feeling very self-righteous and absolving your guilt—and then you continue to do just what you did in the first place. George Ball, the White House dove, serves as a good example. He would be wheeled into Johnson's office, he'd be listened to very politely, and he'd be wheeled out and the whole thing would go on again. I think of it as the "domestication of dissent."

So, how do you get role innovation, people who change practice? How do you detect signs, cues, and get the right information ingested into the system? How do you develop an environment that will not squash the role innovators? Because the impulse within any paradigm

is to squeeze them out, to make them leave. Their voices are too upsetting, so we ask them to exit. Or, we stop listening.

How do you encourage change from within? Or do you have to take a Ralph Nader stance and attack from the outside? Is that the only way institutions can change?

When you think about the interdependence of the institutions right now, when you think about the turbulence of the environment, and the boundary transactions between and among organizations, the number of technological and other kinds of changes that are forcing themselves on institutions, the question is not how we develop innovation, the question is how do we screen and select the right alternatives. The question is this: Can you develop an organization which sees reality—not becoming faddish, spastic, other-directed, and reactive to every trend and whim that takes place—without becoming rigid, guarded, and frozen? Can you establish a pro-active, realistic organization? Obviously, if our institutions start adopting everything new, they will merely become trendy, disposable systems, with no inner core or integrity, much like an organizational counterpart to Peer Gynt.

Another great concern of mine is this. How do you communicate to people that certain changes *have* to take place, maybe even substantial changes, without creating in them such *deep* resistance based on role irrelevance and incompetence and insensitivities? I'm frankly more worried, from my own experience as consultant and administrator, about the people who really fear change more than disaster. The conservative factor is always there. Where I think change-oriented people make mistakes is in thinking they're going to do away with history. That is the basic problem, because in fact most people interested in change have very ambitious hopes. They have an illusion, an omnipotent fantasy, of the clean slate. I saw it destroyed too many times.

Every social system contains the forces for movement and the forces for conservatism—in the best sense of that word, and that is to conserve the best and to move with some of the things one ought to move with. The point is, there are always conservative and progressive forces within every institution. One or the other of these two sides quite often tries to blot out the other, which is about as successful as blotting out one's ambivalence.

If anything, I would call myself a relentless gradualist at this point. Because I've been reading history this year, and I've been very sad

about seeing the kind of slowness of really basic changes in our social system. It's not very much. With all the talk about change and temporary society, I'm painfully aware of the famous crack of Crane Brinton, who said that the only thing the French Revolution brought about was the metric system. I should add to that, Napoleon.

I'm saddened also by something else. I've had long periods of very deep concern with the fusion of theory and practice, with the hope that rationality was the only way which we could ever reach anything like a civilization. And a conviction that the basic "two cultures" problem in the world is not the one that C. P. Snow has revived between scientists and humanists, but between men who had knowledge and no power, and men who had power and no knowledge. I kept hoping, I suppose somewhat romantically, that somehow men who write history and men who make history would have a broadening affinity.

One of the things I felt proudest about at Buffalo was developing the new program of applied social sciences—or Policy Sciences—to try to shape and modify and integrate the social sciences so that they can have an impact on systems, on policy, and so on. But this was also something that caused me a good deal of concern and ambivalence. Quite often I oscillate: to feelings of great despair when I realize that, probably, social knowledge is the weakest form of social influence known to man; to the disappointment about the theory-practice fusion, about somehow trying to develop knowledge that really has clout, and impact on how people behave, and policy. I'm often reminded of that line from an Auden poem, in which a character says something like, "He's lecturing on navigation while the ship is going down."

That's pretty much how I felt over the last several years at a university where I was a top administrative officer, when I saw that very little of what I'd written before seemed to stand me in good stead with what I was doing at that time. And, it is acutely embarrassing when your faculty and students, always close readers of what their administrators write, look at what you've written, and point out the discrepancies between what you said and what you in fact do. To return to the question of change, and how you implement it. What I'm saying is that there are a variety of ways. Under which conditions you use various models has a great deal to do with the complexity and existential aspect of the group or the organization in question, and its history.

It would be foolish to advocate any single model. I have used the

power model, the human relations model, the restructuring model, the temporary systems model. You could also do something which I think is probably best of anything, which is to set up within any unit or sub-unit of the organization a small rotating group of people who will be called “organization renewal” people, and who will probably use data and other ideas in order to create incremental changes. So, there are lots of ways.

What I think most people in institutions really want—and what status, money, and power serve as currency for—is affection, acceptance, a belief in their growth, and esteem. I think you can create changes and innovations if you succeed in not losing the affection of the people who, on the face of it, seem to be losing it. I really feel that people stay in organizations, and are satisfied in them, because they’re loved and feel competent. And that we use these other things—status, money, power—as fungibles. Is there even a way of shifting some of the tangible resources and still not having that love lost? In many professional organizations it’s very difficult. I would never make that statement to my department heads or deans. They would say, “Quit psychologizing, and what’s all that love nonsense. We’re really interested in the bucks.”

I don’t even want to argue. I’ve taken an easy way out, which is simply to use the money and status argument and say, “Okay, these are the levers, these are the above-the-surface counters, this is what the meter reads.” But in fact, it’s love and esteem.

And so, when you want to make changes, you try to bring along with you those who perhaps have the old way of looking at things, along with the new. You don’t make it an Either/Or proposition. Nor do you try to domesticate the resistors. (I’ve spent too much time in my life with people who cholerically defend obsolete conventions.)

What is it that creates within people an identification with the adaptive process? What is it that creates a man who has a high tolerance for ambiguity? What is it that makes people throughout their lives *learning* men and women? I wish I knew. You can see it, and you can feel it, the people who are learning as they go along. But, by God, I wish I knew what the personality aspects were, what the educational components were, what the developmental process is, what the family background was. I don’t think we know.

But it’s clear that some people—and it’s not just age—continue to learn and grow throughout their lifetime.



## **PART II**

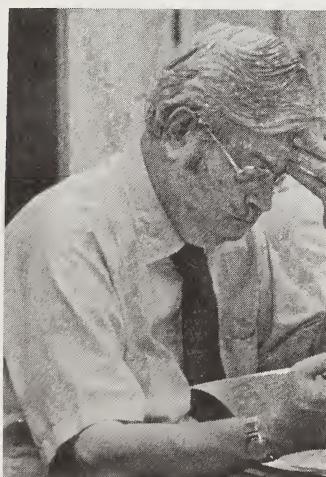
### **Developing State and Local Leadership**



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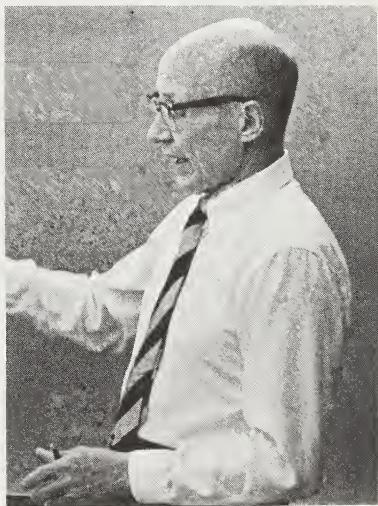
**Frank P. Sherwood** is the Director of the Federal Executive Institute, Charlottesville, Virginia.



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# Leadership Development at the State Level

Neely D. Gardner

Leadership development strategies and programs at the State and local levels are scarce. Those good models that do exist need wide exposure and emulation if State and local agencies are going to use training and development effectively as a management tool. California clearly has been the leader in this area of concern.

Professor Neely D. Gardner was the chief architect of the California experience and brings a touch of realism and hope to the issue of leadership development within State and local governments.

Today I should like to strike a blow for freedom.

Cactus Jack Garner, who labored long and diligently on the “Hill” before he became F.D.R.’s Vice President, used to pause in the day’s occupation to, as he said, “strike a blow for freedom.” During those prohibition days, Garner specifically meant taking an illegal branch water and bourbon break.

Since we are here addressing “Leadership Development at the State Level,” it seems important that we consider leadership “for what,” leadership “for whom,” and the environment in which leadership is likely to take place. All three are important:

1. Purpose.
2. People.
3. Context.

So when I strike a blow for freedom, I shall go beyond a protest against one restrictive, if onerous, law, and emphasize what appears to me to be the frantic necessity to develop leaders who can, in fact, lead us toward development of democratic processes and institutions.

The drive for freedom is gathering both momentum and opposition. This may be the first time since the Golden Age of Greece that the world has made a substantial move toward democracy. For 200 years, we have alleged support of the Constitution and the Declaration of Independence. With a population nearing almost total exposure to at least a grammar school education, we suddenly find many of our young people saying "it sounds great, let's have some of it."

This poses special problems. We suddenly find, for example, that there is a disparity, a lack of congruence, between subinstitutions and declared social values. While the awareness that such a problem exists is greater in the United States than in many countries, this legitimacy crisis is worldwide. Fred Riggs has written a thoughtful critique of our foreign aid programs and makes a case that many of our failures can be ascribed to a failure to understand and support the concept of legitimacy. A strong political value articulated in the Declaration of Independence is that governments derive their just powers by consent of the governed. Riggs notes wryly that there are only two sources of legitimate authority. The first, is from heaven, and there are not many direct recipients—those ruling by divine right—who lead modern countries. Therefore, the most viable source of power is that derived by consent of the governed.<sup>1</sup>

Today, one of the major crises in organization is failure to recognize the need of the individual for freedom, and the organization's obligation to operate on consent.

It is easy to get bogged down when one discusses a concept as grand as freedom. Can we reach some agreements or at least some operating definitions of the nature of freedom? For example, it should be fairly safe to say that one form of freedom is the ability to make individual choices about what one believes as well as what one

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<sup>1</sup> Public Administration Review, *Administration and a Changing World Environment*, July-August 1968.

wishes to do. We should be able to say what we believe. We should be free from fear and want.

Obviously, no person is completely free, for even in a free society he must associate with others who wish to be free, who at the same time may not be willing to grant an equal degree of freedom to those who would intrude upon his life-space or argue with his ideals.<sup>2</sup> Probably we might also agree that more freedom is better than less freedom. Unless both of us are free, neither may be free. There seems to be a strong case to be made for the view stated in the "Ballad for Americans," that freedom for some is not possible, but only freedom for all.<sup>3</sup>

Many are now raising questions concerning organizational tyranny which continues to prevail in a nation that asserts itself to be free. This tyranny is manifest by organizational norms, bureaucratically inspired restrictions, and authoritarian leadership. It is also manifest by the tyranny of the "greater" in the hierarchy over the "lesser."

There is also the expressed problem of the unresponsive stance, more and more evident in organizations of mammoth scale, toward clients or toward persons against whom these agencies enforce the law. Voices are also being raised against special interest pluralism. Influentials in our society know how to manipulate the system so that a few profit, sometimes at the expense of the many.<sup>4</sup> In a consent setting, organizations need to be concerned with the wider public interest.

"Democracy is inevitable," assert Warren Bennis and Philip Slater in their book THE TEMPORARY SOCIETY. If democracy is inevitable, we must learn to work and provide leadership in an emerging democratic world.<sup>5</sup>

There are several approaches that appear reasonable:

1. We can select and train leaders who have a high value for the concept of freedom.
2. Leaders should be developed who are able to scan and detect

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<sup>2</sup> Dahl, Robert A., and Charles E. Lindblom, *Politics, Economics and Welfare*, Harper and Row, New York, 1953, pp. 129-171.

<sup>3</sup> Written by Robinson, Earl and John Latouch, *Ballad for Americans*; Recorded on Decca by Bing Crosby.

<sup>4</sup> Jun, John and William B. Storm, "Toward Tomorrow's Organization," soon to be published.

<sup>5</sup> Bennis, Warren G. and Philip E. Slater, *The Temporary Society*, Harper and Row, New York, 1968, pp. 1-19.

emerging forces in the technological, social, political, and economic environment.

3. Consent of the governed should be both sought and understood. The governed include those both inside and outside the organization.

If the *why* is concerned with training leaders who have the desire and the competence to help move society toward the achievement of a greater degree of individual freedom, then the *who* becomes a most important consideration. This suggests that attention be addressed to the way in which leadership functions relate to the people who work for the organization and the people who are served by the organization.

The means of leadership become related to ends to be achieved. Therefore, neither leadership by coercion nor by exercise of charisma is desirable. The former is authoritarian; the latter manipulative. Leadership in a free environment requires that power rest with, and be exercised by, those affected (the governed). The leadership role is therefore facilitative and consultative. It may be that thinking of power to control gives us an improper mind set. For what is desired is to achieve release of energy possessed by society and organizations. This energy is conducted in a free and collaborative environment where people:

1. Understand the objectives of their organization (because they help to formulate these objectives);
2. Have the knowledge and skills to perform work required to meet objectives;
3. Perform work that is needed, understood, and valued by clients and the wider society.

One of the perplexing issues faced by the new leadership will be an unbelievably complex society which no one really understands. The environment will call for an experimental man who knows how to try new solutions to solve new problems. The consultative leader must know how to investigate problems and improvise, through integrating the knowledge and skills of the energized employees and citizens with whom he works. This means assiduously working to solve the problem. Nor will he be able to congratulate himself and his colleagues for a job well done, because tomorrow the problem will be different, calling for a new and unique solution.

Our model, then, is one of flexible, changing organizations of

manageable size, in which objectives are clearly stated, and output is made visible. Massive super-organizations seem likely either to perish because they cannot gear themselves to perform new tasks needed to meet emerging situations, or atrophy because they continue to maintain themselves like a giant dinosaur—too slow to get out of the way of expressway traffic, too big (maybe even too dangerous) to be towed away.

Our new leadership must manage more spritely organizations. These leaders must know how to help involved persons organize themselves to plan, organize, and execute, the task required to solve the problem. But something new must be added. Under the new leadership, collaborative effort will be required not only to plan, organize, and execute, it will be needed to assure the organization's self-extirpation. This element of "self-distrust" will occur because an organization will know its job is finished and recognize that the talents of its employees are needed to solve another of society's emerging problems.

Quickly, we have examined the purpose of the new leadership, the human factors that may be involved, and finally, we have glimpsed the incomprehensible and undefined environment in which the public business is beginning to be performed. I have tried to stress that the ultimate purpose of leadership in our organizations of the immediate future is to preserve and enhance individual freedom.

Surely this task cannot be accomplished by massive national and supra-national organizations, although such organizations will continue to have guardian roles in such areas as preserving the peace, fiscal and monetary policy, and the other matters affecting the general welfare.

In this Country, State government will likely continue as a key administrative factor.

It is from this grand plan that we now move to the work bench. For in the end, the ideal of freedom is of little worth if we do not know how to discover the talent and develop the leaders required to actually achieve our ideals.

Remembering that our focus is the State, let me set forth a format for leadership training and development, a model, if you will. You should know that in developing this model I am biased by history. Generally, the approach to leadership development which I am asking you to test is suggested by the successes and failures experienced in the State of California. It is important to note that the model suggests that training leaders is a process, not simply a

program. This process has endured four Governors and five different State Training Officers. The model includes consideration of 1) involvement, 2) constant need determination, 3) training as a management function, 4) policy development, 5) infrastructure development, and 6) training leaders to utilize training processes to achieve public purpose.

To understand the full implications of the model, you are asked to divest your mind of some long-held preconceptions. The process will never be achieved by giving or attending classes. It may even be impeded by setting up training centers and schools that are separate from the management stream of the operating organization.

Mind you, there are worthy educational purposes to be achieved by sending students to school, but the results are likely to be unfocused and diffused, not, on the short term, capable of evaluation. It seems less than likely one can send a person to leadership school and have that person return home a leader. Developing leadership is a process which quite incidentally might include a classroom experience or two.

Now permit me to discuss the model:

1. Involvement.

- A. All levels of organization are involved in developing and administering training processes that affect them or their operations.

*California Experience:* We started by holding 3-day management conferences which were "sponsored" by the Governor. These conferences were attended by the Governor's appointees, their deputies, and Civil Service division chiefs. These were live-in conferences held on the Campus of the University of California at Davis. The program changed from year to year, but at first the emphasis was on developing personal and interpersonal management skills. The conferences were financed and registration fees paid by each department represented.

California State Training Division provided staff work for the conference, but outside resource professionals were brought in to lead small groups and provide theoretical presentations at general sessions. Each year, managers helped plan and evaluate the conference. Finally, administrators felt the need for broader programs for themselves, and these have been extended. There is now a so-called "school of management" which is attended by the top three echelons of administrators. Upon completion of this 3-week

program, administrators are from time to time invited to special lecture series or management programs which they themselves plan.

While the management conference, school of management, and other formal activities serve the purpose of "reaffirming the faith," they are peripheral to the major development effort which has occurred around implementing State or departmental programs or policies. This process began with team-building sessions which, in the early stages of the program, were conducted by members of the State Training Division staff. Today, most departments have their own training sections. A great many division chiefs have gained considerable skill and see the value in utilizing group interaction processes in their work.

## 2. Constant Need Determination.

Operational needs of agencies are changing constantly because of happenings in the environment. Part of the need-determination process includes:

- A. Developing agency interest and skill in sensing and interpreting the changing environment (political, technological, social, and economic);
- B. Interpreting operational needs in training and development terms.

*California Experience:* The operation developed a constant, if not completely efficient feedback loop, with agencies finding more and more needs that might be met through training. Trainers were involved in finding new means of meeting these needs.

It took many years and a maturation of view to learn that departments have a heavy obligation for developing their skills in sensing the environment. Most departments, even to this day, have gone about the job on an ad hoc or existential basis. It is only in the recent past that some agencies have begun to develop programs to examine and catalog public needs which should be considered in developing new ways of serving the public interest. The California State Compensation Insurance Fund is one agency which is leading the way in finding means of sensing the environment and developing programs to meet needs as they emerge.

## 3. Training as a Management Function.

It is important to establish in the minds of administrators the value of training as a management strategy which is used to:

- A. Develop an understanding of the purposes and direction of program and policy;

- B. Give people the specific and timely skills required to achieve those desired purposes;
- C. Develop employee participation in building and executing programs.

*California Experience:* It was difficult to switch the concept of training held by administrators from a “learning about” to a *doing* activity. It required several “demonstration projects” to show how such processes could be used. These demonstrations ranged from instituting a new system of personnel appraisals, changed approaches to licensing, and means of dealing with public complaints, to such activities as lessening the adversary climate in information-gathering hearings. In each case, employees or clients were given an opportunity to develop or understand the new policies or objectives.

In each instance where new skills were required and new knowledge needed, these were provided through training.

Administrators began to experiment with more collaborative styles. As they became more sure of themselves, many adopted participative modes of management. While changes in administrations have taken their toll—new administrations have a way of tightening their controls and thus their coercive stance—the continuing and working parts of the organization down in the “engine room” have moved a remarkable distance toward democratic mode of management. While this mode of management is not by any means pervasive, it is significant. Several agencies now hold regular team-building sessions to help solve problems which they are facing. A number of agencies reorganized to make quicker response possible. Several agencies also built “ground-up” policies, and even put budgets together on a systematic building-block basis.

4. Policy Development.
  - A. Training policies should be generated by persons affected.  
This especially includes key administrators and trainers.
  - B. Training policies should be promulgated and issued by the Governor.

*California Experience:* Under each new Governor, since Governor Earl Warren, California has had a training policy. In each instance the policy has been developed by a committee of high-level administrators, in consultation with training officers and other affected parties.

The policy statement has never, to my knowledge, been fully implemented while in existence, but it has rather developed a target

or goal toward which to work. Under each succeeding Governor, the policy statement has been a very important instrument which one training officer described as a hunting license which gave State administrators the right, if not the competence, to improve the development process.

(Note: Some States have gone the route to developing legislative policy statements. These are more enduring, but less flexible. California has enabling legislation for training and for tuition reimbursement. Otherwise, the policy direction is set by the executive branch.)

##### 5. Infra-structure Development.

In addition to developing a policy guideline for training, some of the steps that should be taken are:

- A. Appointment of a training and development committee made up of interested appointed administrators, their deputies, and division chiefs. In most States this will provide an ear to the Governor that is very necessary in furthering some of the aspects of the leadership training program.
- B. Secure a small, top-level central training staff which:
  - 1) Provides training leadership,
  - 2) Trains agency heads and their deputies,
  - 3) Trains trainers.
- C. Establish councils for:
  - 1) Second-level administrators (deputy directors),
  - 2) Training and development officers,
  - 3) Management analysts,
  - 4) Budget officers,
  - 5) Personnel officers.
- D. Develop training units in each department.
- E. Train every civil service manager as a trainer.
- F. Develop a 3-year training plan for the State and for each individual department.

*California Experience:* The Legislative Analyst and a number of other key figures in the State government wanted a centralized training facility which conducted most of the training in the interest of (those brave words) "efficiency and economy." Fortunately, this view was successfully resisted. In my opinion, reason prevailed. The State Training Office was to provide leadership. It was to be experimental. It was to take risks and act as the "cutting edge." But in no way was the Training Division to take over the training for

operating departments. The State Training Office took such a position because of the disastrous experience it had had in training supervisors in all the good things in which supervisors should be trained, only to have these persons go home to a psychological massacre typified by the warcry "that's not the way we do things around here."

If training is worthwhile, it will have great impact and influence. If it has impact and influence, it had better be developed in collaboration with heads of agencies and their prime movers.

In California, this collaboration took several forms. First, a training committee made up of influential and interested agency heads helped formulate training policies and served as liaison with the Governor's office, and helped the Training Division formulate workable training policies and secure funds for operation. Recall that, in addition, a program was set up to train agency heads and their direct subordinates to utilize group and participative approaches in a team-building setting, in which action training and research was applied to pressing organizational problems.

Gradually, department by department, the State developed small training units which have now expanded and presently represent the major training strength of the State. These departmental trainers took their positions after participating in an interesting and intensive course called "Training of Trainers." This particular effort enabled the Training Division to establish a close relationship with departmental trainers that proved to be mutually supportive during the pioneering years.

One of the most enduring and useful efforts of the Training Division was to establish a range of councils made up of special-interest groups within the State framework. These included:

- A. Deputy Directors' Council. Its members were the "Number 2" men in each department. Most of these deputies were Governor's appointees.
- B. Training and Development Officers' Council. As training units were formed and training officers appointed, these trainers had a need for a continuing association. This gave an opportunity to provide special support and to keep in touch on vital training issues.
- C. Management Analysts' Council. Prior to the coming of the training officer types, management analysts were the chief "workers" in the vineyard for administrative improvement. They continued to be a significant force and were staunch allies of the training and development movement.

- D. Budget Officers' Council. This unit started as the Accounting Officers' Association, but, as fiscal processes became more sophisticated, developed into an association of departmental budget officers. The Budget Division of the central Department of Finance participated, in a paternalistic way, in the deliberations of this Council, but never quite became a part of it. They were fearful, and probably rightfully so, that they might be co-opted in the process.
- E. Personnel Officers' Council. This group has represented the need of the Central Civil Service Commission and Departments to administer the merit system programs. As in most jurisdictions under merit systems, these officers have been engaged, for the most part, in the business of administering examinations, classification, pay, and recruitment programs. In recent years, they have been "reactivated" by burgeoning problems in collective bargaining. Never have they been personnel managers in the full sense of the term. Some frustration has been generated because of the credibility gap presented between what they wished to do in the personnel management field and what they actually did as civil service officers. Many of these frustrations were displayed in the Council.

All of these Council groups were idea-developers. All used their meetings for professional improvement. All were, to some extent, pressure groups, and all have made a contribution to the leadership development process.

Less success has been exhibited in developing 3-year training plans, although some agencies have continued in this mode.

6. Training leaders to utilize training programs to achieve public purpose:
  - A. Make political appointees aware of training strategies.
  - B. Develop supergrade civil servants who know how and when to use training strategies.
  - C. Give wide publicity to the efficacy of action training and research.

*California Experience:* After many years of effort, administrators began to accept the concept that training was a viable action strategy. It was possible to develop programs for the orientation of political appointees and rather desultory and less successful training for new legislators. Sometimes the training of top administrators has appeared to be an exercise in futility, since politically appointed

administrators comprise a very transient group. Not unpredictably, however, alumni of the State Administrator's group have been most supportive of development efforts from "the outside." Their influence has been considerable.

The supergrade civil servant has progressed most and has had great supportive influence. Many supergrade managers have become adept trainers.

Perhaps the most interesting development has been the career pattern of the trainers themselves. I left the California State Service 6 years ago. All the trainers I knew who were active as trainers at that time have received generous promotions. Of the trainers who staffed my central unit in the State Training Office, all are in very influential management positions. Happily they have turned out to be excellent managers and living proof of Kurt Lewin's notions about the viability of a good theory. California Training Division even claims to have invented the term "organization development."<sup>6</sup> It should be noted that the use of the term OD in the Training Division had a closer relation to the term "socio-technical systems" than has the term OD as it is used today. The most exciting thing about the Training Division experience was not in the area of inventing terminology, but in coming close to a breakthrough concept generated by and built on the seminal ideas of Kurt Lewin in his development of action research. This new concept, which was built on action research, became action training. Action training and research began as a hopeful effort dedicated to the achievement of democratic public purpose. Today, action training and research is coming into its own, with the National Training and Development Service being at the forefront in using the strategy as a means for social change.

Well, thank you for bearing with me. The California experience shows both the pleasure and pain of development.

Never has training and development been needed more by so many. We live in great and troubled times. One can despair and one can hope.

Humankind has the knowledge and even the option of building a future in which all people can have full stomachs, are free from fear, can think and speak in peace, and can make individual choices which enhance not only their lives but the lives of their fellow beings. This will demand developing super-leaders able to help others solve the super-problems required to make men free.

Why don't you join me and strike a blow for freedom?

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<sup>6</sup> Gardner, Neely D., in *Public Personnel Review*, "Training as a Framework for Action," Vol. 18, no. 1, January 1957.

# Training of Elected Officials From Minority Groups

Jewel L. Prestige

One of the more crucial challenges facing State and local government in this country is the development of leadership within the minority communities. While the term "minority" continues to grow in application (e.g., Chicanos, women, youth), the largest single block of disenfranchised citizens in the past has been the southern blacks. Jewel Prestige shares with us her experience in working with black elected officials, providing insight into the dilemmas faced by those minority groups who are gaining leadership responsibilities—by ballot and by appointment to key positions within the State and local governing process.

As a black woman, Dr. Prestige brings unusual qualifications and a unique perspective to the study and application of political science.

This presentation today is an effort to look at what one university is attempting to do in the area of assisting black public officials in one State in the American South.

The black elected official must be viewed against the backdrop of American history as it relates to the status of blacks in the political system. Traditionally, blacks have been nonparticipants in the

political system. Any examination of the record tends to support the contention that American blacks have been treated more as subjects than as participants in the American political system.

Subjects are those persons who are not disposed toward participation through input into the system, but rather become involved in the political process only as the objects of legislation, court decisions, and the like. Participants, on the other hand, regard themselves as having some role in the making of the decisions which affect their daily lives—for example, putting forth demands on those who make the decisions.<sup>1</sup>

The subject role which black citizens have played in American politics was not a role for which they volunteered.

Blacks arrived in America in the early 1600's and began a more than 244-year legacy of chattel slavery. During this period, slaves and black freemen alike found themselves mostly or totally deprived of the franchise. Between 1787 and 1865, only five States permitted blacks to vote on equal terms with whites (Maine, New Hampshire, Vermont, Rhode Island, and Massachusetts). In all the rest, blacks were, at some time, barred from the suffrage.

The end of the Civil War, the Emancipation Proclamation, and the Civil War amendments collectively ushered in a period of relatively widespread voting and officeholding at all levels by blacks—but only in the South. However, this period was short-lived, and by 1902 there was not a single black in the U.S. Congress and blacks were once again disfranchised throughout the South.

Between 1900 and passage of the Voting Rights Act of 1965, blacks and others waged an uphill battle for the ballot and full participation in the political process. Passage of that act represented a significant change in the nature of American federalism as it applies to protection of rights of American citizens. Given the legal protection necessary to participate in politics in the American South, blacks began to register and to vote in large numbers. For example, Mississippi's black registration jumped from 8 percent of the eligible population to nearly 60 percent in just 2½ years.

In what appears to be a direct result of that increase in black registration, facilitated by the Voting Rights Act in December 1971, over 800 blacks were elected to office in the American South—109 of these in Louisiana, eight in the State Legislature. The plight of

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<sup>1</sup> Almond, Gabriel, and Bingham Powell, *Comparative Politics*, Little, Brown, and Co., Boston, 1966, p. 53.

these newly elected officials was highlighted in a southernwide "Conference for Black Elected Officials" held at Atlanta, Ga., in December 1968. In the keynote address, former U.S. Attorney General Ramsey Clark observed that, "Four years ago we could have held this meeting in a telephone booth in the lobby and not interfered with anybody who wanted to make a phone call."

Professor Don Matthews and James Prothro wrote in 1966, "Only about 5 percent of all southern counties had one or more Negroes in elective or appointive office from 1945 to 1960."<sup>2</sup> When we view the black officeholder, we are viewing a rather recent innovation in American politics. What we must not forget is that in that section of America where most blacks reside, up until 1965, voting and officeholding were illegal acts (for all practical purposes) for blacks.

What about the contemporary black officeholders?

These men and women are by no means a homogeneous group. However, they do seem to have several common characteristics:

1. They are, for the most part, inexperienced.
2. They represent nonaffluent constituents.
3. They are, for the most part, lonely men operating in hostile official surroundings.
4. They are faced with the problem of making decisions on traditionally important policy issues brought before them, while at the same time introducing and gaining acceptance for new programs stemming from the special needs and demands of their special constituencies.
5. They must face their new responsibilities cognizant of the dearth of information and assistance available to them from the black community.

These five considerations provided the major impetus for the various programs which Southern University initiated to provide assistance to black elected officials in the State of Louisiana. Six of them include:

*1. The Southern University Public Affairs Service Center*—established in 1968 and funded by a grant from the Voter Education Project, Southern Regional Council, in January 1969. Generally, the Center is structured to provide officials with assistance in research, legal affairs, leadership training, consultative services, and library resources.

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<sup>2</sup> Matthews, Don R., and James W. Prothro, *Negroes and the New Southern Politics*, Harcourt, Brace, and World, New York, 1966, p. 176.

For the first year of its operation, I served as director. Staff for the Center now consists of a full-time director, a full-time secretary, associate faculty from the University, and student interns. In addition, faculty members, especially in political science, will assign research projects to students in various classes which answer to the needs of black public officials of the State. Some of these projects have focused on (1) displacement of black teachers and principals, (2) interracial student unrest, (3) consumer protection laws in other States, and (4) patterns of aid to private colleges in other States.

Periodically, the Center holds special seminars and conferences for the officials collectively or by special categories: (a) justices of the peace, (b) school board members, (c) State legislators.

Representatives of the Center (sometimes the director, sometimes student interns of faculty members) will attend national/regional conferences dealing with questions relevant to work of black officials in Louisiana (reapportionment, school desegregation, manpower training, economic development, leadership training).

2. *The annual Public Affairs Seminar*—sponsored by the Department of Political Science, the Public Affairs Service Center, and the Southern University Lecture Series—attempts to bring elected officials, students, and other university personnel together around some significant public policy issues.

The 1972 seminar was labeled “Public Officials, Public Policy, and the Human Condition.” It was keynoted by Congressman John Conyers, who focused on the work of the Black Congressional Caucus as it attempted to address itself to the major policy questions facing the country at the national level. Small workshop sessions provided capsule information on Louisiana for the officials. This information is being compiled in a monograph which will be made available to each official. Additionally, there was a question and answer session with Congressman Conyers and a closed session for Conyers and Louisiana black officials. During the entire proceedings, a continuous effort was made to examine critically the role of various community institutions and agencies in the formulation and implementation of public policy.

3. *Conference on Black Community Development*—Southern University and Operation Breadbasket (PUSH). In this joint conference, the aim was to examine critically questions relative to the general objective of black community development.

More specifically, the objectives were:

1. Development of institutional and policy linkages between educational institutions, professional academicians, public officials, and similar agencies and individuals;
2. Exploring strategies and priorities relevant to black community development;
3. Devising components of a program of cooperation between the conferring agencies and individuals.

*4. Leadership Training Project*—Conducted under a grant from the Louisiana Commission on Extension and Continuing Education in 1968-69, this project was designed to prepare an efficient core of leaders who would involve people of their communities in significant action programs. The bulk of the participants were elected officials from small-town rural areas in the State.

The seven major program directives are reflected in the titles for the seven major sessions.

Session I. Historical, Demographic, and Ecological Louisiana.

Session II. Community Structure: types of communities, community public agencies, etc.

Session III. Community Leadership: how to form committees, conduct meetings, etc.

Session IV. Economic Aspects of Community (in detail).

Session V. The Schools and Community.

Session VI. Community Politics.

Session VII. Nature and Role of Social Agencies in Community Life.

The project was staffed by university faculty and community and government leaders.

*5. Rural Community Problems and Solutions as Perceived by Indigenous Leaders and Nonleaders*—A research action program.

This program was conceived as an effort to: (1) ascertain in selected Louisiana communities the needs and problems as perceived by leaders and nonleaders, (2) determine what leaders and nonleaders think are solutions to community needs and problems, (3) determine community-focused sentiments and cohesiveness as related to community problems and problem solving.

While this is primarily a research project, it is significant for black public officials, since the bulk of them come from rural areas of the State.

*6. Dialogue Between Identified Rural Small Town Leaders and*

*Selected Faculty Members at Southern University.* Recently funded, the objective of this program is to acquaint Southern University faculty members with leaders and problems in the concerned areas, thereby developing a corps of faculty members who are knowledgeable about rural problems as enumerated by grassroots rural leaders.

Hopefully, this better understanding of community problems will serve to strengthen and undergird the instructional and outreach programs at Southern University. One other possible result is that community leaders will also be more aware of the resources and expertise available at Southern University to attack community-based problems.

## A Strategy for State and Local Governments\*

Frank P. Sherwood and Frederick E. Fisher

A new organization, the National Training and Development Service (NTDS), has been created to provide a major, coordinated response for ongoing training and development in State and local governments. NTDS was conceived by the National Governors Conference, Council of State Governments, National Association of Counties, U.S. Conference of Mayors, National League of Cities, and the International City Management Association. Continuous leadership development is a key objective of NTDS. The following article by Frank P. Sherwood and Frederick E. Fisher provides background data and future plans for the new service.

Tom Fletcher, President of NTDS, and Fred Fisher both participated fully in the 3-day seminar. They presented their ideas to the State, local, Federal, and university participants. They sought and were given frank and valuable feedback and advice on the role and future direction of this new service. The article appearing here was later written and appeared in the July-September 1972 issue of the Civil Service Journal.

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A new organization has been born in the Nation's Capital. Nothing new—it happens practically every day—but we believe this one is different. Furthermore, we believe it holds some hope for moving State and local governments down the road toward their growing responsibilities. It's called the National Training and Development Service for State and Local Government (NTDS). You may have heard it referred to as the Continuing Education Service for State and Local Government. The name change took place at the first official board meeting of the new Service last May when it was decided that NTDS more accurately reflects the mission of the new Service.

NTDS has been a long time coming. And that is understandable. It is a complex task to put together a program that will serve many interests and cope with a vast array of problems. Before we get into the guts of the program, it will be helpful to relate briefly some of the particulars of the NTDS conception. While the 1962 Municipal Manpower Commission report "Governmental Manpower for Tomorrow's Cities" spurred a lot of interest in training and development during the early sixties, no individual or group was able to get it together with enough persuasion to fund a comprehensive effort aimed in the direction of State and local governments.

It wasn't until late 1969 that the concept of continuing education for State and local governments began to occupy an encouraging spot on anybody's agenda. About that time, the executive directors of six major public interest groups (the International City Management Association, National League of Cities/U.S. Conference of Mayors, National Governors' Conference, Council of State Governments, and National Association of Counties) had begun meeting in order to pool the strength of their members in finding answers to the pressing needs of State and local governments. Working through a newly formed secretariat, the State-County-City Service Center, the directors decided that inservice training would be their top-priority concern.

In May 1970, the six groups convened in a national symposium at the Adult Education Center of the University of Maryland in College Park to consider a new course of action in continuing education for State and local governments.

There was consensus among the 46 participants that it was time to move on continuing education with a bold and vigorous program. A formal report of the symposium's deliberations entitled "Consensus

at College Park," which was presented to the six executive directors, contained the format of a plan of action.

Thanks to Ford Foundation funding of an intensive 8-month planning effort, the consensus statement was transformed into a plan of action, and on May 1, 1972, the National Training and Development Service opened its doors in Washington, D. C., with Tom Fletcher, former city manager of San Jose, Calif., and former deputy mayor of Washington, D. C., at the helm.

Initial funding to establish the Service is being provided by the Intergovernmental Personnel Act, administered by the U.S. Civil Service Commission, and by the Ford Foundation.

The plan for NTDS represents a systematic effort to deal with the world as it is, not as we would like it to be—and that's what makes the new Service so important to the men and women out in the trenches.

What are some of the realities of the NTDS world?

The first and perhaps most important is that this country contains some 90,000 different governments spread across hundreds of thousands of square miles. There is not a parallel situation in the entire world. We have far more governments than any other country.

If sheer numbers are not enough to convince us of the scale of the problem, there is the arresting fact that "State and local" comprehends at least four markedly different types of institutions—the States, the counties, the cities, and the single-function districts. Further, their needs and interests are profoundly affected by the States in which they operate.

They also are influenced greatly by professional and other interests. The school districts, for example, have for the better part of a century enjoyed relative separation and independence from general governments. Now we are recognizing how interdependent they are with all our other public concerns and activities.

No program that seeks to serve the whole interest of our State and local governments can afford to ignore any of these significant components of our system. On the other hand, to try to deal with all of them on anything like an individualized basis would require a national organization of a scale and with resources that are almost beyond imagination.

A second problem is one of leadership. No matter how we might want to idealize the concept of home rule, the fact is that it is crushingly difficult to attract into these 90,000 governments the

quality of leadership needed. The rewards often are very low, the future highly precarious, and the standards of performance variously constructed and applied.

Discouragingly, the situation is one in which it is very difficult to insert a substantial training input. The leadership resources in State and local governments are very thin, much too thin. We can remember many cases in which city managers were reluctant to propose adequate staff assistance for themselves because of fear of public criticism.

Also, the average citizen is unaware of the pace of technological and social change. When a man is hired at a top salary, it is assumed that he knows all there is to know. Local elective boards do not look kindly on lengthy training programs for top executives. And, if the truth were known, neither do the executives themselves.

Thus we have a basic psychological and systemic problem. It becomes all the more serious if you accept our proposition that changing and adapting organizations (the crucial need in our urban communities) must have growing and changing leaders.

Much of the problem of training leaders in State and local governments is simply reflective of a general lack of commitment to human resources development in the society. Training has not been recognized as a necessary cost of doing business; and that cost is not so much for training fees as for providing employment levels that anticipate a regular complement of people in training.

A final point in this recital of problems—it is no easy task to get a handle on the state of the training art today. Partly this is because training is like sex. Everyone considers himself an expert. If there are differences in performance, they are kept more or less confidential. (Of course, we are aware that nothing much is private any more, and perhaps one of the good consequences will be more openness about training methods and performance.)

Actually, the state of the training art has moved forward dramatically in the last 10 years. There are highly consequential and impactful programs and trainers to be found in various parts of the country. But there are also a good many people in the field who either do not know their business or still rely on the philosophies and approaches of a bygone era. Testing the relevance of a training strategy to a given situation is subtle and intuitive at best; and it is really too much to ask the generalist administrator to be informed enough to play an important planning and decision role. There are an awful lot of bad training investments made every year, in large part a

result of the failure to disseminate more effectively information about changes and advancements in training technology and philosophy.

In sum, realism says that the National Training and Development Service has a tough job ahead. Such awareness should not be regarded as pessimism. It means that strategies have to be developed that seek to deal with real, and not rhetorical, needs. It also suggests that we ought to set realizable targets for this new organization. Most certainly, NTDS is not going to arrest urban deterioration. And most governments will feel no direct effects of the NTDS existence in the immediate future—if ever.

What, then, should we expect of this new organization?

It may be easier to answer this question by saying what NTDS will not be. It may surprise many, but NTDS will not become a large organization although the task it faces is immense. It will not engage in a plethora of training activities, although such work, no doubt, would provide higher visibility, greater financial stability, and early acceptance and support from the clients.

Finally, the Service will run scared from the notion of being all things to all people when it comes to training and development in State and local governments. Already many of those interested in the program have made recommendations for program involvement that would take NTDS down a road of high activity, good feelings, and dismal payoff.

NTDS is clearly committed to collaborate, and not compete, with the many institutions and individuals now involved in continuing education for State and local governments. If there is one watchword for NTDS—it is *multiply*. And what will it be trying to accomplish through the multiplier theory? In the simplest terms, NTDS will be trying to make training and development an integral part of the management strategy of as many State and local government agencies as possible. It is central to the NTDS philosophy that training and development of human resources must be so regarded. Each government must take responsibility for its training, as it must for all its management activities.

But response to the message of NTDS will differ from government to government. Thus, the NTDS strategy is two-phased: (1) to form a network of those government leaders who are, or can become, training-oriented, and (2) to give a variety of supports to those governments which, by virtue of their actions, are prepared to make waves. This is not to suggest any policy of exclusivity. Anyone can

join the network by taking training seriously.

At the risk of repetition, we would like to dwell further on this concept of institution building. Bear in mind that we conceive the basic problem as one of organizational capability to identify needs, to match up resources, and to undertake the necessary programs. Experience shows that top management has to be involved in, and committed to, the effort. That does not mean that every top manager must be so concerned; but such effort requires more than specialized staff investments. That is why it is proposed that NTDS make a major effort, through orientation sessions, policy conferences, and special executive seminars, to identify top officials who can and will provide leadership in their respective governments.

The second piece of the action comes when there is a commitment within the government to move ahead. At this point we see several types of resources required. Most important is the imperative that there be a person in the organization who recognizes training as a basic responsibility and who has developed sufficient expertise to follow through on the training commitments of top management.

This job is appreciably different from that of trainer. Hence the label: training and development manager. Responsibilities of this role involve identification of training needs in the organization, effectiveness in working with appropriate groups, and creativity in matching up resources (both inside and outside the organization) with identified needs. It is through this mechanism that a particular government responds to its unique requirements; and this is why the proposal does not deal with specialized training needs, as in labor relations, law enforcement, race relations, and so forth.

NTDS will support development of training expertise in the individual governments in a variety of ways. There will be a major effort to train training and development managers. There will be back-up consulting services. And network activities will involve publications, experimentation in new methodologies, clearing-house services, and possibly evaluations of training ventures in the public and private sectors. In short, the NTDS network activity should allow a training and development manager to keep up to date, become exposed to new ideas and programs, and secure help for special situations when needed. Perhaps as significantly, the network should be an important psychological support for training in all the jurisdictions involved.

These network functions will benefit not only the governments, but also the educational and training institutions that seek to serve

them. The objective is to provide as much help as possible to upgrade training offerings, to facilitate their marketing, and to aid the universities and colleges of the Nation to direct resources and energies toward these very worthy enterprises.

While NTDS clearly will emphasize outreach, it should not be overlooked that the existence of a national voice for training in State and local government can have great potential significance. This is not suggested in any lobbying sense. Many of the policies that affect training investments and programs are made in a great variety of consultative sessions; hence opportunities abound to represent the training point of view.

It is hoped that such a national voice can help to reduce the fragmentation of the training dollar. If it cannot endow training with sex appeal, perhaps the voice at least can make it clear that training is still training—whatever the program involved. Some recognition of the interdependence of these many efforts would be a welcome result.

A voice also can function as a resource mobilizer. In developing a familiarity with and knowledge about the condition of governments around the country—and more particularly about their training—NTDS should serve to draw greater attention from national policy councils to strategies for improving the performance of State and local government employees.

It is indeed difficult to summarize the great range of thought that went into the final NTDS proposal. In fact, consensus came hard; and it is likely that everyone involved in the planning process would have written an article differing greatly from this one. We do think, however, that we would agree that our interest was not so much in creating something strikingly new as it was in giving operational meaning to an aspiration whose time, we are quite convinced, has come.

# Intergovernmental Personnel Act\*

Joseph M. Robertson

The Intergovernmental Personnel Act of 1970 (IPA) is providing an important new thrust for training and development at the State and local level. This new money and program input is starting to make waves across political boundaries. Joseph M. Robertson, Director of the Bureau which administers the Act, met with the seminar participants and effectively shared IPA plans and activities. He, too, listened to the grassroots voices of the participants drawn from nearly half of the 50 States. The following article appeared in *Personnel Administration*. It sets the historical perspective on IPA and provides a glimpse at its future.

With the passage of the Intergovernmental Personnel Act of 1970 (IPA), and its approval by the President on January 5, 1971, sound personnel management was reaffirmed as a vital element in effective governmental administration. The IPA established as public policy:

“That . . . a national interest exists in a high caliber of public service in State and local governments,

“That the quality of public service at all levels of government can be improved by the development of systems of personnel administration consistent with . . . merit principles, and

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\* Reprinted from *Personnel Administration*, May-June 1972, with permission.

"That Federal financial and technical assistance to State and local governments for strengthening their personnel administration in a manner consistent with these principles is in the national interest."

The IPA is truly a landmark in Federal legislation. Chairman Robert E. Hampton of the U.S. Civil Service Commission described it as "the first comprehensive statute designed to strengthen the personnel resources of State and local governments." It offers a unique opportunity to State and local governments for upgrading their manpower resources and improving the delivery of services to the public. The need for legislation like the IPA became evident during the 1960's. Population growth and shifts, rapid technological changes, and the requirements of our increasingly complex and interdependent society began to place enormous demands upon State and local governments. Numerous studies showed that the needs of these governmental jurisdictions for well-qualified personnel would outstrip the supply, particularly in the critical professional, technical, and administrative occupations. Any failure of government to resolve our complex domestic problems could well result in diminishing confidence in our Federal system.

The need for a comprehensive approach to personnel management assistance was met by the IPA. The focus of the IPA program is on helping the chief executives of State and local jurisdictions raise the quality of public service by improving the competence of personnel and the quality of personnel systems. The Act includes provisions:

Emphasizing intergovernmental cooperation and the creation of a true partnership among all three levels of government;

Encouraging innovation and diversity on the part of State and local governments in the design and management of their systems;

Authorizing Federal financial and technical assistance to State and local governments for improving their personnel systems;

Authorizing grants for training State and local personnel and for establishing government service fellowships, and authorizing the admission of this personnel to Federal training programs;

Establishing for the U.S. Civil Service Commission a leadership role in the coordination of personnel management and training assistance available to State and local governments;

Transferring to the U.S. Civil Service Commission major responsibility for setting and administering merit system standards for Federal grant programs;

Providing for the temporary assignment of personnel between

Federal agencies and State and local governments and institutions of higher education;

Establishing an Advisory Council on Intergovernmental Personnel Policy.

The first priority facing the U.S. Civil Service Commission was to establish an organization for administering the provisions of the Act. The Bureau of Intergovernmental Personnel Programs was established in Washington, with Intergovernmental Personnel Programs (IPP) Divisions in all 10 of the Commission's regional offices. The staff of the Office of State Merit Systems in the Department of Health, Education, and Welfare, which had been responsible for administering Federal merit system standards and providing technical assistance in personnel management to State and local governments, was transferred to the Civil Service Commission.

The Commission IPP staff includes persons with experience in State and local governments and educational institutions, as well as specialists recruited from the U.S. Civil Service Commission and other Federal agencies. The Bureau has about 60 persons on its staff, while an additional 100 persons are working in the regional IPP divisions.

An early decision was made to decentralize the administration of the IPA. A key role is played in its administration by the Commission's regional directors and the regional IPP divisions. Priorities for personnel management improvement are determined by States and localities according to their particular needs.

The IPA grant program has begun as a relatively modest one—\$12.5 million in fiscal year 1972. From the beginning, however, it has been our intention to exploit every provision of the Act as a vital part of the New Federalism. Although the basic purpose of the IPA grant program is to assist State and local governments in improving personnel administration, other extremely important aspects are fostering intergovernmental cooperation and improving the coordination of all Federal grant programs affecting State and local government employees and personnel management.

### **Program Accomplishments**

Since the first IPA grant in October 1971, the Commission has made 115 grants totaling \$7.6 million. Of that amount, 59% has been for personnel administration improvement projects, 40% for training, and less than 1% for government service fellowships. A few examples

of grant projects now in operation may illustrate the wide scope of activity being supported.

In many States and localities the personnel function has historically been fragmented. Consequently, among the personnel management improvement projects, the most frequent area of concern is establishing or strengthening a central personnel agency. In Douglas County, Nebraska, for example, a central personnel program and agency is being established for the first time with the assistance of IPA grant funds.

A second area of widespread interest is the instituting or updating of personnel classification and compensation systems. For example, Shreveport, Louisiana, is updating the basic classification and pay structure for classified city employees.

Review and improvement of examining policies and methods, including the validation of tests and improving equal employment opportunity systems, is a third major area of project activity. The grant to the Commonwealth of Virginia, for example, includes funds to validate and revise civil service tests for both the State and local governments.

Examples of other personnel administration improvement programs currently being given assistance include projects to design and install automated personnel reporting systems, to develop affirmative equal opportunity employment programs, and to utilize modern manpower planning and management methods.

The training projects that have been funded under the IPA cover the wide range of administrative, managerial, and technical skills necessary in a modern public service. In addition to the core areas of management, executive development, and supervision, jurisdictions have been placing heavy emphasis on training in labor-management relations.

Not all activity in labor-management relations is in training, however. In Massachusetts, IPA funds are lending support to a pilot program to improve the speed of handling arbitration cases involving local governments. The program is being carried out by the State Government and the American Association with the cooperation of local governments and unions.

The IPA provides that elected and appointed officials, as well as career civil servants, may participate in projects funded under the Act. An association of parish officers in Louisiana took advantage of this provision in obtaining a grant to train newly elected parish officers in governmental administrative techniques. The Act also

provides for the participation of the legislative and judicial branches of governments, as well as executive. Under this authority, a group of legislative auditors in Alaska is receiving instruction in modern auditing techniques.

### Intergovernmental Cooperation

The IPA grant program has been especially effective in encouraging intergovernmental cooperation. In a letter to President Nixon, Governor Ronald Reagan said of California's statewide grant, "This State plan is representative of all levels of State government working together and includes the Federal government as an active partner." Governor Richard B. Ogilvie of Illinois recently wrote to Chairman Hampton, "... discussion of the Act and its provisions has already opened many channels of communication among State and local governments that were closed before. Just on this basis, the Act has produced benefits."

Forty of the 69 grants made so far involve intergovernmental cooperation at some level. Thirty-eight states have or are expected to receive grants for statewide programs involving both State and local governments. Ten grants support programs which serve combinations of local jurisdictions. One grant represents a cooperative effort among five States and several cities, and three grants are nationwide in scope.

Thirty-three Oklahoma municipalities are cooperating in a survey of salary and fringe benefits for police and firemen for use in employee-management negotiations.

California and Nevada are working together on an examination research project.

In Utah, a statewide Intergovernmental Personnel Service Center is being established to assist the State and local governments in personnel matters and to provide information about public employment.

The Valley Council of Governments in Connecticut received a grant to establish a single, coordinated intergovernmental personnel administration program for the municipalities of Ansonia, Derby, Seymour, and Shelton.

The International City Management Association, on behalf of the six major public interest groups,\* has received an IPA grant to

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\* Council of State Governments, National Governors' Conference, National League of Cities, U.S. Conference of Mayors, International City Management Association, National Association of Counties.

establish and operate a nationwide Continuing Education Service. This project, which is also receiving financial assistance from the Ford Foundation, will help strengthen the management abilities of appointed and elected State and local officials through training.

*Interagency Cooperation*—There is an increasing amount of contact between regional IPP staffs and representatives of other Federal agencies which administer aid programs related to the IPA. The Commission's goal is to provide maximum coordination of available Federal assistance, either by dove-tailing Federal grants or by referring applicants to the most appropriate Federal agency.

*Preapplication Consultation*—The Civil Service Commission has committed itself to providing preapplication consultation to all potential applicants. These informal consultations are producing many benefits. Intergovernmental cooperation is explored and promoted; possible duplication of effort is avoided; and application deficiencies are discovered and corrected.

*Rapid Application Processing*—The Commission is also committed to rapid and effective processing of grant applications. Except in unusual circumstances, final action is taken on all applications within 30 calendar days. The preapplication consultation process supports this goal, but a major reason for rapid processing is the decentralization of the grant program. The Commission's regional directors have full decision-making authority on grant applications in their areas. The Bureau of Intergovernmental Personnel Programs retains authority only for rewarding nationwide grants and for developing general grant policies.

In addition, each grant has a single grants manager who is responsible for the grant from preapplication consultation, through application processing and post-award monitoring, to project completion. An applicant or grantee deals with an individual who is fully knowledgeable and informed and who can provide him with advice and assistance whenever necessary.

*Post-Award Monitoring*—We fully realize that continuous and cooperative monitoring of grant projects is the most effective way to assure program and financial responsibility. We are working closely with grantees to assure maximum results. As the grant effort picks up, monitoring will be one of the most important aspects of the administration of the program.

By the end of April 1972, 151 temporary intergovernmental assignments of personnel had been reported to the Civil Service Commission. These assignments have involved 21 local governments,

36 States and Territories, 23 Federal agencies, and 33 colleges and universities.

Ninety-nine Federal employees were assigned to other jurisdictions; 63 of these assignments were to State governments, 17 to local governments, and 19 to institutions of higher education. Fifty-two assignments were made to Federal agencies; 28 from State governments, 4 from local governments, and 14 from educational institutions.

A look at just a few of these first-year assignments points up the kinds of problems that can be solved through the loan of top talent among governmental jurisdictions.

An HEW official is serving as a special assistant on human services to the Vice Chancellor of the University of Maine, coordinating a project aimed at better attuning the University's curriculum to the State's human services manpower needs.

A budget officer from the U.S. Department of Agriculture is on loan to the State of South Dakota to prepare its budget for the next fiscal year while the State recruits for a permanent budget director.

Personnel from the Northern Virginia Transportation Commission are assisting the National Bureau of Standards in its review of technology for exclusive freeway lanes for express buses.

An assistant personnel officer from the U.S. Geological Survey with extensive Federal personnel management experience has taken a 2-year assignment as personnel director for the State of New Mexico.

A Milwaukee County Assistant District Attorney is on assignment with the Federal Law Enforcement Assistance Administration to help in the preparation of guidelines.

Four employees of the General Services Administration's Atlanta regional office served as management consultants to Georgia's Executive Committee on Reorganization.

A Kentucky social worker is on assignment to the U.S. Department of Agriculture as an employee development officer.

President Nixon called attention to the potential benefits of such interchanges of personnel when he recently wrote to State governors and to the heads of Federal departments and agencies. Citing the IPA as "an excellent opportunity to advance the cause of the 'New Federalism,'" the President told agency heads, "We should move promptly to take advantage of the potential this new provision affords." He asked governors to "join me in encouraging an interchange of talent" and described the mobility provisions of the

IPA as "a new tool for building a stronger partnership" with great benefits for all levels of government.

Individual Federal agencies have full authority to negotiate directly with State and local governments. Program officers of States and localities can negotiate assignments with program officers of Federal agencies. The role of the U.S. Civil Service Commission is to encourage and monitor the interchange of talent between interested jurisdictions. Federal Regional Councils, which include the regional directors of various Federal agencies, and Federal Executive Boards, composed of top Federal executives in major metropolitan areas, have been asked to encourage mobility assignments by bringing together interested managers from all levels of government and discussing situations where mobility assignments might help.

The trend in the number of mobility cases is upward. Agencies are moving toward increased recognition of the potential benefits from mutual exchange of program specialists. The prediction is that we will see more use of this new tool as program managers become familiar with its provisions.

During the past year, the major thrust of the technical assistance program has been advice and assistance to State and local governments in implementing the personnel aspects of the Emergency Employment Act. Under a contract with the U.S. Department of Labor's Manpower Administration, the U.S. Civil Service Commission has established an EEA advisor in each of the Commission's regional offices. These advisors have helped speed the initial hiring of approximately 120,000 unemployed for special jobs established by State and local governments with EEA funds. We are now in the second stage—advising State and local governments on ways and means of assisting the transition of these newly hired employees into the permanent work force.

There has also been a brisk and growing business in reimbursable technical assistance projects. These include a variety of aspects of personnel administration, such as:

Revision of personnel procedures and review of the examination process and the classification system for the Commonwealth of Massachusetts.

Evaluation of decentralized personnel operations for the State of New Jersey.

Comprehensive evaluation of personnel operations for the Pennsylvania Liquor Control Board.

Survey of training needs for three Alabama counties.

Review of classification and compensation for the city of Hurst, Texas.

Reimbursable projects such as these have supplemented the ongoing responsibility of providing technical advice and assistance to grant-in-aid programs that require compliance with Federal merit system standards.

### Examining Assistance

More than 35 States and several local governments have received written test materials as a continuation of examination services provided by the former Office of State Merit Systems. The examinations are made available on a nonreimbursable basis for several hundred job classes, primarily professional and administrative, in State and local programs having a merit system requirement as a condition for Federal grant-in-aid. Available examination materials are provided at cost to other State and local programs.

New kinds of assessment instruments for human services aide positions have been provided to over 20 State and local merit system agencies. These new tests have been under development during the past 2 years through a special research project funded by the U.S. Department of Health, Education, and Welfare. Their job-relatedness has been established through extensive field tryouts, which have demonstrated their suitability for persons of limited education.

Many States and localities have expressed their interest in improving their examination process by using innovative and up-to-date selection devices. Two of these, on which we are providing advice and assistance, are the job element approach, which was developed for trades and labor occupations in the Federal service, and the Federal Worker-Trainee examination, which is designed to assess suitability for jobs of a simple nature.

Requirements for the use of merit personnel standards in State and local agencies administering Federal grant-in-aid programs were first established in 1939 by the Social Security Act. Originally applicable only to a few programs, including public assistance, they have been extended to cover about 30 programs involving more than \$15 billion in Federal aid.

Although they have been amended from time to time, a comprehensive revision of the merit system standards took place in 1971, at about the time of the transfer of authority to the Civil Service Commission. The challenge to the Commission has been to

administer these revised standards in line with the IPA provisions, encouraging innovation and diversity on the part of State and local governments in the design and management of their own personnel administration systems.

Primary emphasis is being given to implementing the provisions of the standards on equal employment opportunity. The revised standards require that "equal employment opportunity will be assured in the State system and affirmative action provided in its administration." State merit systems agencies and State program agencies are developing affirmative action plans to cover the personnel activities for which they are responsible. The Commission's regional staffs are helping these agencies develop realistic plans tailored to their particular needs.

Substantial effort and progress has also been made in completing the extension of merit system coverage to local health agencies as required by amendments to the Public Health Service Act, and to State agencies responsible for surplus property utilization. In addition, action is currently being taken to extend merit system coverage to two new grant-in-programs, the developmental disabilities services and facilities construction grants and the occupational safety and health grants.

The IPA provided for the establishment of an Advisory Council on Intergovernmental Personnel Policy. In July 1971, the President appointed 15 outstanding citizens as members. The members include persons selected from universities, public employee organizations, and the general public in addition to local, State, and Federal government officials. Chairman of the Advisory Council is Mrs. Ersa H. Poston, President of the New York State Civil Service Commission. The Vice Chairman is Mrs. Barbara Bates Gunerson, a former member of the U.S. Civil Service Commission.

The Advisory Council has a broad responsibility for studying and recommending to the President and the Congress personnel policies and programs for improving the quality of public administration at State and local levels of government, strengthening the capacity of State and local governments to deal with complex problems, aiding State and local governments in developing effective and responsive systems of personnel administration, and facilitating temporary assignments of personnel between Federal, State, and local governments and educational institutions.

The Advisory Council has held several meetings, and Council members have contacted numerous public officials at all levels of

government, as well as public and professional interest groups and unions, concerning their views. The Council's first report is due in January 1973. It will cover, among other things, the Council's views and recommendations on appropriate Federal merit personnel standards upon which grants-in-aid should be conditioned and the feasibility and desirability of extending merit policies and standards to additional grant-in-aid programs. Another important aspect of the report will be the Council's views on financial and other incentives to encourage State and local governments in the development of comprehensive systems of personnel administration based on merit principles.

This first year has been the IPA off to a good start. All provisions of the Act—grants, mobility, technical assistance, and training—are being utilized. Perhaps most significant is the high degree of consultation and cooperation between State and local governments in meeting their needs.

Although it is a good start, it is just a beginning. Many important challenges await us in the year ahead. Among these is the need to expand and improve our communications system, so that information about the IPA and its programs will reach all those who stand to benefit from it. Federal, State, and local officials need to exchange information about personnel management improvement problems and projects, so that maximum benefits will be realized from the IPA.

We must also implement, fully, the Commission's responsibility under the Act for coordinating Federal grants, technical assistance, and training in personnel administration. This will help avoid duplication of effort and, even more importantly, help States and localities explore all possible avenues of assistance in meeting their personnel management needs.

As we assess the results of the first year's personnel improvement and training grants, we are keeping an eye focused on increasing effective utilization of available resources in meeting current and projected needs. For fiscal year 1973, the President's budget proposes significant increases in funds for administering IPA programs, including an 80% increase in grant funds. This would raise the level of funding for IPA grants by \$10 million to a total of \$22.5 million.

It has been a satisfying and challenging first year. The value of the efforts of State and local officials and the public interest organizations in identifying their priority needs and in supporting

and using the authorities for assistance provided by the IPA cannot be overestimated. We look forward to their continued interest and cooperation.

Perhaps the major challenge we face is to be able to respond effectively to the expectations which have been generated by the first year of operations under the IPA. This is not an easy task, but the spirit of intergovernmental cooperation and partnership which we have seen during this first year is a most encouraging sign. By working with other public jurisdictions and interested organizations, we can help make public personnel administration based on merit principles responsive to current needs at all levels of government.



## PART III

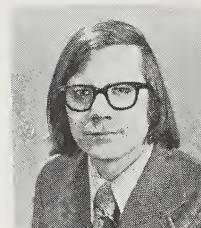
# Approaches to Managerial Training

**Dr. Charles L. Hughes** is the Corporate Director of Personnel, Texas Instruments, Inc., Dallas, Texas.



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# Management Development Through Management by Objectives

Dr. Charles L. Hughes

Major corporations have long realized the need for leadership development and have committed resources to the process. Texas Instruments, Inc., believes in the development of the individual within the corporate context. Dr. Charles L. Hughes shares the TI experience and his own views on management by objectives as a leadership development strategy.

I would like to talk first about the subject of management development, and then leave time for us to interact on this subject. Management development, in my experience, has had a very serious problem.

Companies have engaged in a number of university programs. Most large organizations, whether government or industry, have had something called management development and it has taken a number of forms. Many have leaned very heavily on the business school curriculum. Many people have been taught standard subjects by people who have never worked in industry or government, but are experts in their field and reside on a campus. That led us to the interesting proposition that a lot of the things that people learn are essentially concerned with people being able to pass an exam

designed by the person who taught the course—even though the instructor did not practice what he taught.

An early analysis was that the reason management subjects were not practiced was because people weren't taught well. After that came an era of changing the behavior of the manager so that all of these things that he learned could be put into effect. This led to sensitivity training (which probably should be called desensitivity training). That in turn led to some highly structured forms which were better organized and reduced the tendency of people to crash and burn with their psychological problems. These forms are probably best represented by the Blake Model with which you are undoubtedly familiar. In many organizations, Blake's Grid was warmly received because it was numbers-oriented and it also fit into the engineering frame of mind. Companies thus attempted to change the leadership style to permit better organizational performance and managerial development. There were some positive effects, some negative effects, and a very large null effect. We have all spent a lot of money trying to train and develop managers and a lot of time on computer programs and skills inventories, replacement tables, job rotation schemes, classroom training, and sensitivity training.

Some organizations have since moved away from the approach of changing leadership style in order to permit management development. For whatever rationalization we might choose, we should now move out of the phase of trying to change the behavior of key managers and concentrate on developing them. Our prime interest should involve the manager's job and how, through his work content, he could be developed to his maximum.

My conclusion is that the most effective way to develop managers is by heavy involvement in "what's happening." In innumerable organizations, the management development activity operates at arm's length, far from what is really happening in business. People are being supposedly developed as managers, but they are not involved in the basic planning processes—determining what the organization wants to be and how it is going to get there.

My theory is: the best way to do management development is to have a management by objectives system—an MBO system. Many organizations do not have an MBO system. In organization after organization, you can question key managers about their goals and usually you get no response. With probing, you might get a response such as, "Well, my goals are to do right at all times."

Two reactions come to mind: 1) change the people to conform, or

2) change the managerial style. A classic response is, "Something's wrong with those people. Therefore, let's train them or change their behavior so they can be developed along the model represented by the present higher level managers." Or the reverse, "Let's change the entire hierarchy." Some forms of sensitivity training and grid activities have become virtually subversive in a number of organizations—dedicated to the overthrow and downfall of the present managerial style. The top managers are quite perceptive that they did not get where they were by adopting a new style. They did it in their own particular way. They will permit you to do things with other folks, but do not bother them. If change does not start at the top, it is doomed to failure.

How can MBO help develop managers? A basic process is to involve many levels of the hierarchy in the development of plans in the MBO fashion. There are probably three basic ways to do MBO: 1) Have a planning organization sitting off to the side of the line of the organization ask people a few questions. This does not tend to produce much commitment or motivation. 2) Go out and say, "What are your plans?" These are added up and become the organizational plan. This tends to have people going in directions meaningful to themselves but not necessarily meaningful to the organization. 3) Set some key organizational objectives and ask each successive layer of the organization to develop plans for achieving them, set goals for their own organizational level, involve the next level in setting goals, and map strategies for achieving them. We can continue to repeat this process.

Involving managers in the planning process makes the process more meaningful. The organization is going to develop by developing people. You cannot develop managers in the absence of the development of the organization. Both must go together and, as a matter of fact, could be perceived as two sides of a single process. Personally, I do not feel there is much need to spend money on a management selection, rotation, and training program divorced from MBO. I do not feel that most people need to be trained managers. What they need is the opportunity to manage the process of what is really going on. This will be their development and the earlier in their career they participate in it, the more meaningful it is going to be. An attempt should be made to have every professional in the organization (and lots of other people) participate in the planning process. At a minimum, all those involved in the achievement of the goals of the organization should be given an opportunity to relate

their personal goals to those of the organization. This gives them a need to think about their personal development goals, career goals, and to see if they can be achieved under the organizational goal-setting umbrella. I do not see how we can have any management development with any meaning whatsoever unless it is going to enhance the attainment of the long-range goals of the organization. If we do the converse and attempt to achieve the long-range goals of the organization without reaching the goals of the people, we probably will not get as far.

I think that there are a number of myths about development, such as the notion that one can train managers in the classroom. Another myth is that a person's superior really cares about his development or that he is qualified to give him any guidance in his career development. The only reality is, where is the organization going? Does it help me reach my personal goals? To what extent can I influence where the organization is going? If I cannot get a good fit, then should I leave and find an organization in which our goals are more compatible?

There is no need, it seems to me, for all leadership styles to be the same; and, in a very practical sense, I think that we are wasting our time when we think everybody is going to be the way developers would have them. As literature shows, there is no evidence that these programs produce mass change. You can go back to the research and look up the International Harvester Study and the results of taking people out of the organization, into a university management training program, then putting them back into the organization. You find a quick fade-out effect. I am not saying that we don't need some kind of management training. I think we might teach people how to read budgets. We might teach people how to do certain kinds of standardized tasks. We might teach people a number of technical business subjects. Teaching people how to lead, teaching people how to interview, teaching people how to be concerned about someone's development, I do not see as particularly effective.

But there is another way to get there, and that is by putting someone right in the midst of the mainstream action as fast as we possibly can. With an MBO system, it can be done at a very early stage in someone's career. By the time he's invested himself in the organization and the organization has 5 years invested in him, he ought to be able to work within the system, understand the system, and help change and improve the system by working through it. He also can receive his rewards, get his performance evaluation, seek

promotions, and get his kicks for achieving goals for the organization while satisfying some of his needs of growth and achievement. This is a very large prescription, but I think that is what we are going to have to do while we want to provide a smorgasbord of training opportunities off the side that someone may pick voluntarily. There might be some kind of indoctrination to philosophies and personnel practices for very new supervisors. But we would not need to engage in much classroom leadership training or management development in the sense of teaching people how to behave.

The logic is simple: The more our organizations and members are concerned with the goals, the less we need to have any one particular style of leadership. The subject becomes less relevant. There are some studies which indicate leadership style is most necessary when you do not have goals. When you have goals, leadership style is less critical because we focus on where we want to go. Then, having decided to commit to a goal, the issue is the most efficient path for getting there. This permits criteria for measurement of performance, that is, goal achievement.

When one is involved in an MBO system, he can use the same model for self-managing his own personal development—and he can run his own maze. Nothing is more disappointing to me than to find an organization in which there is someone off in a room full of organizational charts colored red and green showing who is going to replace whom. It's all masterminded by someone who is plotting someone else's path through the organizational maze. Rather, it should give enough visibility to where the organization is going to enable a person to run his own maze. He becomes quite aware that his development is his own responsibility.

Work in achievement motivation has gone on for a number of years, which demonstrates the power of involvement in the goal-setting process. However, it is very upsetting to some higher level managers to think that other humans might influence the direction of the organization in order to get more satisfaction of their personal goals. But that reaction fails to recognize that they have done the same thing themselves. That's why higher level managers tend to be more motivated than lower level managers. It is because there is more consonance between their personal goals and those of the organization. Upper level managers do not ask for help in their own management development, so why do they feel that other people should have help? They do it themselves and they do it because they are in the middle of the planning process.

With this theory or framework, we fan out to include job evaluation based upon the goals to be achieved, rather than the sterile descriptions of duties. We also can fan out to determine compensation according to an index of how much an individual does to help achieve the goals of the organization. We can determine who should be encouraged to leave the organization, or as I sometimes put it, be placed with your competitors because they're not contributing to the success of your organization. We can determine which organizations are not successful because of the people or because of the system of management being used. These changes are what you might call structural changes.

Changing the organization (developing the organization by changing its structure in terms of the pattern of interaction) can be accomplished by a change in the management systems, particularly those kinds which the computer manipulates. Changing policies or practices will change the behavior of people, which will probably lead to an attitude change. A point of disagreement is often, which comes first, the behavior change or the attitude change? The approach being described is based on the theory of, "Let's get people to do certain things and let's see what attitude response we get. Let's measure the attitude response and that will give us a feedback about whether we're approaching it the right way." The sensitivity training/grid model is just the converse. It says, "Let's change leadership styles, which leads to changing attitudes people hold about other people and themselves." This might change their behavior and they might do some different things. Then they might change the structure of policies and practices in management systems. I am not saying that will not work, but I have not seen any studies which indicate this is the most efficient way when you are dealing with large organizations. With very small groups, there may be no problem if you have enough training staff and the top guy is liberal enough to let the training staff run loose through his organization. But in massive, multinational organizations, that model is just not efficient.

The structural change models are key to MBO. The structural change is how planning occurs. For example, a short-range plan changes the budgeting technique so that people have to participate in budgeting. Suppose you used "zero-based budgeting" which means that on December 31, midnight, you have no budget, square footage, or anything. Prior to that time, you and your colleagues have competed for the rejustification of your budget in units of money of

around \$25,000 to \$50,000 apiece. They have been placing rank-order upon investing the money and the return to the company. We could separate MBO into two systems: 1) long-range planning for change, versus 2) annual operating—planning on how to do more of what we already do. Suppose we let many people participate, would this scheme work? There is good evidence that it works. It leads to higher achievement by the organization. I do not think it is too tough to get large numbers of people involved in determining what they think is the most important thing the organization should achieve next year. I do not really believe it is that difficult if we decide that is what we want to do. Why do we want to do it, because we love people? No, we do it to make the organization develop better and to provide an opportunity for people to better develop themselves. MBO systems begin to fall apart when they get disassociated or alienated from people development. When we establish a management development staff, I think we have taken one step away from planning and operating systems and people participating—where most of the development occurs. We must never separate the development of the individual as a manager from the development of the organization.

# A Model and Checklist for Administrator, Manager, and Executive Career Training and Development®

Edmund N. Fulker

Leadership development begins at home with each administrator or prospective administrator. Edmund N. Fulker in the following article shares with us some thoughts on administrator, manager, and executive development. The article includes a model or framework for the knowledge, values, abilities, and skills needed for success as an administrator, and a "self-development checklist" which uses the model as a tool for self-assessing training and development needs along the administrator's career.

It takes a long time to grow an executive.

Time and experience alone are not enough.

College and university courses in business and public administration may help, but these, too, are not enough.

Follow-up or continuing education courses and management seminars taken periodically throughout one's career, while helpful, also are not enough.

Progressively more responsible experiences with real problems

faced by managers and executives may be helpful, but these, too, are not enough.

Even experience in the different functional areas of running organizations or getting things done with and through people are not enough.

What is needed (besides time and a variety of managerial experiences with real problems) is the capacity to learn and profit from managerial and executive experiences.

Some of this ability to profit from past experience in managerial problem-solving and decision-making may come from within the individual himself.

Of equal value, perhaps, is the feedback, counselling, coaching, and help one can get from good bosses who "teach by example." Bosses who create and maintain a climate conducive to the continual growth and development of the managers who work with them are perhaps the most potent force contributing to the development of managers and executives.

In short, one of the best ways to learn to be an effective and efficient executive is to learn by doing—by managing—by tackling real problems in real organizations, ideally under a good boss or set of bosses who plan and provide purposeful and progressively more responsible and varied learning experiences for the potential executive.

Human growth and development, like plant growth, requires a climate and complex set of conditions which foster growth and development.

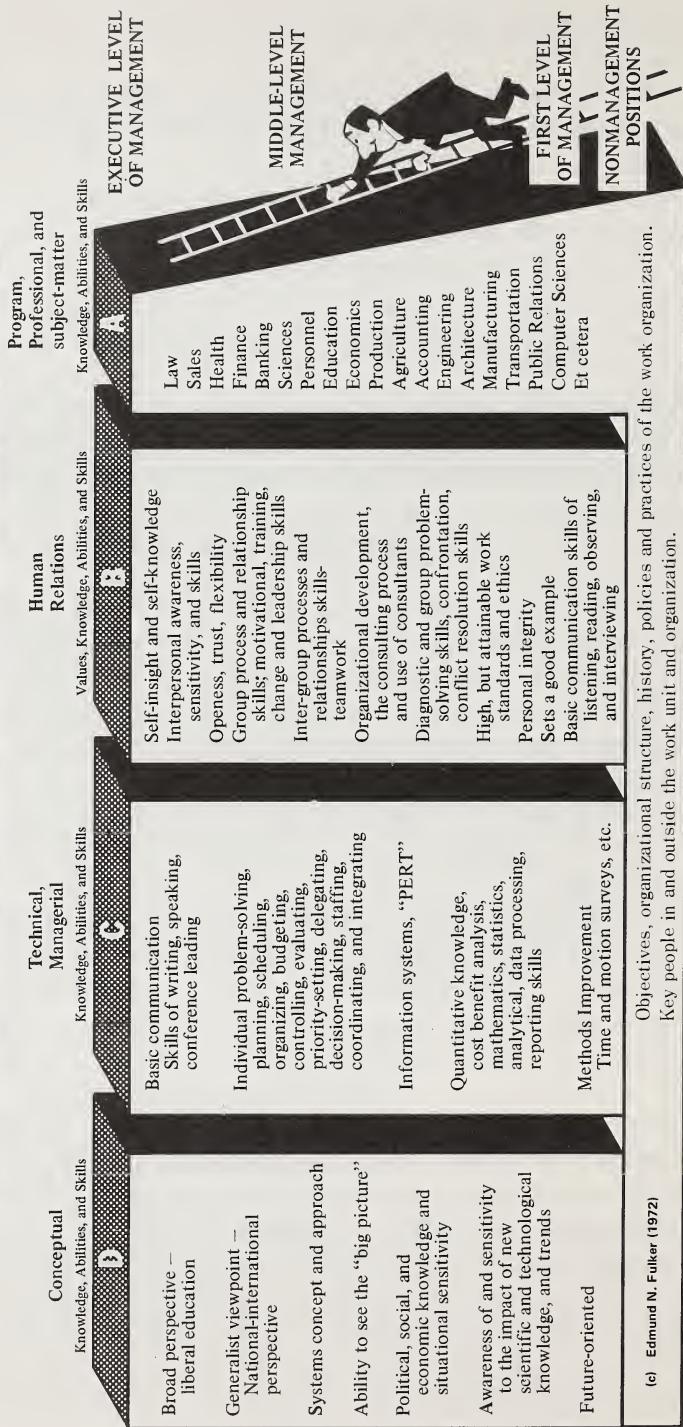
While we are all familiar with the old saying "You can't teach an old dog new tricks," there is a corollary that applies to executive development, "There are some tricks that only an old dog can learn."

The judgment and perspective that result from "the school of hard knocks" rank among the "tricks that only an old dog can learn."

The diagram on page 80 is a model for managerial training and executive development. Following are some additional assumptions upon which it is based.

*Assumption 1:* Differing emphasis or mixes of the above knowledge, abilities, and skills are needed at varying levels of administrator and managerial responsibility in an organization. Example: The newly hired specialist or engineer who has *no staff to supervise* has relatively little need for the knowledge, abilities, and skills described in levels B, C, and D at this stage of his career. On the

## A MODEL FOR ADMINISTRATOR, MANAGER, AND EXECUTIVE CAREER TRAINING AND DEVELOPMENT



other hand, the chief executive or head of an organization has high needs for abilities and skills “D”, “C”, and “B”, and relatively less need for depth-knowledge, abilities, and skills at level “A”.

*Assumption 2:* Except for those who majored in business or public management, most adults in key positions in business, industry, and government view themselves first as professionals or specialists in some field of knowledge such as agriculture, engineering, etc. Only secondarily do they see themselves as managers or administrators. Few of these specialists have had sufficient, timely, systematic, and comprehensive training in the skills which make for success in management.

*Assumption 3:* Some “generalists” currently at and near the top in government and in business and industry need further depth-knowledge in substantive fields in which they now have an administrative influence such as agriculture or the sciences. Because of the knowledge explosion and increased technology and complexity of our space-age world, some “generalists” may need in-depth updating in the substantive field in which they are now functioning.

*Assumption 4:* There are those who feel that “managers or administrators must be grown.” The art of management and administration is best learned through experience and “by doing” (ideally with the coaching of good bosses, task-force and purposeful and timely rotational assignments, etc.). The optimal time to give *formal* training to managers and administrators is when they have a need for a specific kind of knowledge, ability, or skill. For example, after a person has worked for a while, and just before or at the time he becomes a supervisor, is the optimal time for a formal training in the basic principles of supervision. He is most “teachable” at that time and more easily sees the relevance of what is being learned. This initial training should be followed up with periodic formal training in management as he progresses up the organizational ladder and as needs for new knowledge, abilities, and skills emerge. All administrators including business and public administration specialists and graduates, once into their careers, also need periodic updating and training in new developments in such things as computer technology, advances in behavioral sciences, etc.

*Conclusions:* If these assumptions hold, then management and administrator education and training is primarily a post-graduate and an adult- or continuing-education activity. Every organization or government department must have a systematic plan for the growth and development of its present and future administrators and

managers. Carefully planned, purposeful, on-the-job growth experiences, task-force assignments, rotational assignments, field trips, etc., form the base of a planned career development program for administrators and managers.

These day-to-day planned and purposeful growth experiences, under the coaching and guidance of interested and capable executives and managers, should be supplemented by in-service formal training programs conducted and planned by the organization in the knowledge, skills, and abilities contained in the earlier-mentioned model.

Not all departments and organizations will be able to organize and present quality formal training programs in all of these areas, so other sources of formal training should be explored and utilized.

For some very promising individuals, overseas travel/study fellowships and scholarships afford excellent opportunities for broadening the perspectives and updating managers and executives charged with high-level managerial and administrative responsibilities.

### *Some Uses of the Model*

1. For the individual administrator or manager, the model can serve as a checklist or guide in assessing his current and future training needs. (Do I need to learn more about computers? How do I effectively confront and resolve conflict?)

2. It can also serve as a guide to the administrator or manager as he attempts to assist subordinates in planning for their continuing growth and development as administrators and managers.

3. For the department head, personnel director, and training director, the model can serve as a framework for assessing and planning department or company training programs and learning experiences for present and future administrators and managers. (What knowledge, abilities, and skills can we help our potential executives learn within the organization? What can be learned best by use of outside resources?)

4. For heads of training institutions, it can also serve as a checklist in determining gaps and omissions in their current and future offerings. (Are our top people future oriented? Do we provide for sabbaticals? Do we have a balanced executive and career development program?)

5. For the specialist or professional considering taking on managerial or administrative responsibilities, it provides a framework for planning learning experiences, to help assure him

of success in what some call a new profession in management and administration. It may also convince a few engineers, lawyers, and other specialists to resist the temptations of more money, power, and status that often accompany a move into management. Many good specialists have ended up as poor administrators and outdated experts with ulcers and premature coronaries.

Robert Katz, in his "Skills of An Effective Administrator,"<sup>1</sup> isolated three basic kinds of skills: technical, human, and conceptual. This model builds on the Katz Model and agrees with his conclusion that such a model "may prove useful in the selection, training, and promotion of executives" by helping to identify the knowledge, abilities, and skills most needed at various levels of responsibilities in varying sizes and kinds of organizations—governmental, business, and industrial, as well as those in the voluntary sectors of society.

## Self-Development Checklist

This checklist is meant for your personal use in assessing and planning for your continued growth and effectiveness as an administrator, manager, or executive.

The checklist is based on the enclosed "model for administrator, manager, and executive training and development."

This Model attempts to identify the key knowledge, abilities, and skills which contribute to the making of effective supervisors, managers, administrators, and executives, in government as well as in business and industry.

*1. Self-analysis of training and developmental needs:* Take a good, hard, but honest look at yourself and your previous experiences and training in supervision, management, and administration. Be as objective as possible as you answer each item. You have no one to fool but yourself, and nothing to gain unless you are candid in your responses. Once you have completed the checklist, decide what you

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<sup>1</sup> Katz, Robert L., "Skills of An Effective Administrator", *Harvard Business Review*, Jan.-Feb. 1955, pp. 33-42.

will do during the coming year to further your growth and development. Write down what you intend doing and set target dates for accomplishment.

2. *Feedback on how others see you and your training needs:* You stand to gain a great deal more by filling out the checklist yourself, plus asking your boss or someone you respect as an administrator, manager, or executive to fill out independently *another copy* of the checklist on how he sees you and assesses your experiences, knowledge, abilities, and skills as a manager, administrator, or executive.

If you are like most people, you fail to see yourself exactly as others see you. To an administrator, manager, or executive who must get his work done with and through people, self-insight and sensitivity to how others react to his leadership is vital to his effectiveness.

If you have asked someone else to fill out a checklist as he sees you, be sure to *follow through*. Compare your answers with his and look for where you and he differ. These areas of difference may well offer the greatest prospects for your future development as an administrator, manager, or executive.

A boss and a subordinate manager who both fill out a questionnaire on the subordinate manager can easily use the checklists and model as a focal point for discussion of managerial performance and the subordinates' priority training needs at this stage of his development.

You may think of still other uses for the checklist and model. If you would like to share these with the author, he would be deeply appreciative of your comments and suggestions.

Using and updating this checklist at least annually can do much to keep you growing and developing in your leadership roles. The followthrough (like all learning) is up to you.

## Self-Development Checklist

	I am doing quite well	I can use more on-the-job training and experience	I should do more through self-study, self-effort, reading etc.	I need some formal group training	Does not apply					
		(You may wish to check more than one)								
<b>Level A</b>										
<i>Subject matter Knowledge, Abilities, and Skills</i>										
1. In the substantive or subject matter field in which I am functioning as a supervisor, administrator, manager or executive	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
<b>Level B</b>										
<i>Human Relations Knowledge, Abilities, and Skills</i>										
2. Self-insight and self-knowledge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
3. Interpersonal sensitivity (awareness of how you affect others and how they make you feel and react)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
4. Group process and leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
5. Motivating, training and bringing about change	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
6. Intergroup relationships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
7. Diagnostic and group problem-solving, confrontation, and conflict resolution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
8. High standards and ethics and setting a good example	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
9. Effective listening	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
10. Efficient reading	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
11. Interviewing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					

## Self-Development Checklist—Continued

	I am doing quite well	I can use more on-the-job training and experience	I should do more through self-study, self-effort, reading etc.	I need some formal group training	Does not apply
<b>Level C</b>					
<i>Technical Managerial Knowledge, Abilities, and Skills</i>					
12. Writing letters, memos, reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Speaking before groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Conference-leading and conducting meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Habits of planning my work and use of my time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Scheduling my work and work of others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Organizing my unit, section, or group for optimum effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Developing and effectively using budgets to get results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Controlling, following-up, and keeping work under control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. Measuring and evaluating the effectiveness of work plans and unit accomplishments toward agreed-upon goals and objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. Delegating significant areas of responsibility for results to others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Self-Development Checklist—Continued

	I am doing quite well	I can use more on-the-job training and experience	I should do more through self-study, self-effort, reading etc.	I need some formal group training	Does not apply
22. Reaching decisions systematically and through involvement of those who will be required to implement and carry out the decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Selecting and placing workers where they will optimize their contributions to the organization and at the same time achieve satisfaction of their important individual needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. Coordinating: Keeping other units and individuals informed about progress and potential problems before emergencies, antagonisms, and ineffectiveness develop	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25. Integrating: Serving as the linking-pin and gobetween in fusing the efforts of individuals and my unit with efforts of others in the organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. Information systems: Knowledge of, familiarity with, and systematic use of data input and output needed on a timely basis to effectively manage my unit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Self-Development Checklist—Continued

	I am doing quite well	I can use more on-the-job training and experience	I should do more through self-study, self-effort, reading etc.	I need some formal group training	Does not apply
27. Quantitative: Knowledge of, and familiarity with, current concepts of mathematics, statistics, cost benefit analysis, automatic data processing, PERT, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28. Methods improvement: Knowledge of, and familiarity with, time and motion, surveys, work layout, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Level D</b> <i>Conceptual Knowledge, Abilities, and Skills</i>					
29. Broad perspective—liberal education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30. Generalist viewpoint; national, international perspective	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31. Political, social, economic knowledge and sensitivity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32. Systems concept and approach	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33. Ability to see the big picture, future oriented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# My Self-Development Plan in Administration and Management for the Coming Year

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	Dates
To be completed no later than:	Actually completed:
Self-development activities in which I plan to engage: (Books to be read; professional, civic activities; on-the-job training and experience; committee assignments, etc.)	
1.	_____
2.	_____
3.	_____
Formal group training I plan to complete:	
1.	_____
2.	_____
3.	_____

## How I Use My Time

Estimate the amount of time you spend in each of the five areas listed below  
(forget sleeping time):

	Percentage Estimate
1. Work	_____
2. Family Life	_____
3. Community Responsibilities—e.g., volunteer work, church, scouts	_____
4. Social Life—e.g., golf, bridge, clubs, dinner parties	_____
5. Self—e.g., hobbies, interests, self-development	_____
Total	_____

## How I Spend My Nonwork Time

List types of activities carried out in each of the areas below:

Family	Community	Social	Self

## How I Would Like to Use My Time

Estimate how you would allot your time, assuming you were free to do so

	Percentage Estimate
1. Work	_____
2. Family Life	_____
3. Community Responsibilities—e.g., volunteer work, church, scouts	_____
4. Social Life—e.g., golf, bridge, clubs, dinner parties	_____
5. Self—e.g., Hobbies, interests, self-development	_____
Total	100%

Do you ever make a conscious effort to determine priorities in allotting the use of your time in the above five areas? If so, how do you do it? How do you decide priorities? How much control do you have over use of your time?

## How I Would Like to Spend My Nonwork Time

List types of activities you would like to do in each of the areas.

Family	Community	Social	Self

# USDA's Graduate School: The Growth of an Educational Institution

David E. Brewster

One of the challenges in developing leaders in State and local governments is the development of institutions that can facilitate the process with vitality and imagination. Such institution building is not easily accomplished and the models for emulation are few. The Graduate School of the U.S. Department of Agriculture has been an innovator in the field of non-traditional education—a successful one with a tremendous capacity to serve. There is much to learn from this experience as we explore the potential of developing leaders within State and local government.

The U.S. Department of Agriculture's (USDA's) Graduate School commenced operations at 4:30 p.m. on October 17, 1921, just one day before the Senate ratified the final treaties ending World War I.

One hundred and seventy-six students who had each previously paid \$15 or \$25, depending on whether they planned to study one or two semesters, gathered after working hours in the Agriculture Building at the corner of 14th Street and Independence Avenue. There they divided into eight classes: one on economics, one on statistics, the rest on scientific subjects. The great majority of the

students were on the Department's staff, as were most of the instructors. Classes ranged from 10 to 57 members and met twice a week after the first session.

The beginning was straightforward enough considering the long chain of events that led to the initial meeting.

During the years after the Department of Agriculture was established in 1862, it built a reputation as one of the foremost institutions of scientific research in the country. USDA drew outstanding scientists; they in turn attracted younger men who wished to work with them; and the combined activities of these colleagues—the teachers and the taught—marked the Department as a place of learning as well as one of public service.

The agency's educational role in those years was formalized by a tobacco-chewing, bearded, Scotch-Presbyterian, James Wilson, who served as Secretary from 1897 to 1913. Nicknamed Tama Jim after his home county in Iowa, Wilson was dedicated in about equal proportions to science and the Department, and he believed that his employees could learn through experience what no university post-graduate course could teach in a classroom. As he said in his annual report for 1898, "Our division chiefs are very proficient in their lines; our apparatus the best obtainable; our libraries the most complete of any in the nation." Sixteen years later, still going strong at age 77, he stated the Department's boast and its promise in the purest form: "The leading specialists of the Department of Agriculture educate their assistants."

Wilson's successor in 1913 was David F. Houston, a college administrator who apparently believed in strict separation of government and education. Houston's policy, briefly, was, "Those who desire to continue their university studies should detach themselves, at least temporarily, from the Department." This was a curious position, especially considering the Federal manpower needs that accompanied and followed World War I. But it was enshrined in the Department's administrative regulations of 1918.

Houston left USDA on February 2, 1920, five weeks and four days before Congress lambasted USDA's personnel policies, especially its general reluctance to grant leave for graduate training. The criticism, contained in the report of the Congressional Joint Commission on Reclassification of Salaries, came shortly before a statement by the Bureau of Efficiency that many Federal employees wanted more education.

These two documents landed on the desk of a new Assistant

Secretary, Elmer D. Ball, who had been hired to reorganize the Department's scientific establishment. Following up the criticisms, Ball discovered that many scientists were leaving USDA for greener pastures. In April 1921, he wrote the current Secretary, Henry C. Wallace, to propose "a system of graduate training within the Department . . . supplemented by liberal arrangements for cooperating with the Universities and Agricultural Colleges of this country in furthering and completing this training leading to advanced degrees."

No doubt money played a part in the scientific exodus. Four hundred and four scientists leaving between 1910 and 1919 averaged a 57-percent increase in salary outside the Department. Yet, the demand for formal education was real enough and Ball believed that in meeting it he might at least partially plug the drain.

Moreover, the Department's educational deficiencies were painfully demonstrated by the discoveries of Henry C. Taylor who faced the job of creating the Bureau of Agricultural Economics. Called by some the father of agricultural economics, Taylor found that many of the people assigned to him simply could not apply their education to agricultural problems without further training. That unhappy situation (soon remedied by a series of in-service lectures) was just one additional goad to a process that was already moving. For by then, Wallace had endorsed the proposed graduate school.

E. D. Ball, now in a new role as Director of Scientific Work, labored with a committee during the summer of 1921 to formulate ground rules for an educational program along the lines of one that the Bureau of Standards had been running since 1908.

Ball's group suggested six fundamental guidelines. First, the proposed graduate school was to give training to scientists to help them advance within the Department. Second, instruction should be carried on after office hours. Third, the school was to be supported by student fees. Fourth, arrangements were to be made for the acceptance of these credits by the graduate departments of leading universities. Fifth, there was to be cooperation with other institutions in Washington. Sixth, the Department should modify its administrative regulations to encourage student participation in the graduate school and other universities.

The committee's efforts bore fruit on that October afternoon when students and faculty met for the first time. The Graduate School is not an official agency, but rather an instrumentality of USDA. This gives the School both an obligation to, and a certain degree of independence from the Department.

In creating the school, the Department established a principle that has remained at the heart of its educational policy ever since—that the Government, and hence the public, will be better served if employee needs are met.

During those days, when the bulk of students were USDA employees and therefore, scientists, the Graduate School emphasized science. And at a time when the Department's professional staff wanted graduate training, the school was a graduate institution in a fairly strict sense, though it did not grant degrees.

The idea in the twenties was that students should be able to fulfill some of the requirements for a higher degree by taking courses at the Graduate School. They could then transfer their credits to a university and complete their training.

It was a remarkably successful plan. One teacher from Johns Hopkins offered to recommend that his Graduate School students be given half again as much credit as his full-time students on the grounds that their work was that much superior. Between 1921 and 1929, 14 colleges and universities accepted Graduate School credits. The majority went to local universities, but cooperating institutions ranged far afield—from Yale in the east to Washington State in the west, from Louisiana in the south to Cornell in the north.

The two chief midwives for the Graduate School's birth soon left the Department. Ball resigned in 1925, the same year that Taylor was fired for his differences with the Coolidge administration. By the time they departed, however, the Graduate School was flourishing. Since it was self-supporting, it never fell victim to the Congressional red pencil; and since it retained its responsiveness to student needs, there was a wide demand for its services.

The demand, in fact, grew until it extended beyond the Department of Agriculture. During the first 10 years of operation, most students came from USDA. A change began to take place in the early thirties as other Government agencies asked for and received permission to enroll their employees. In January 1935, when enrollment reached a new high of 700, roughly half that number came from outside USDA, in some cases from outside the Government.

The influx was invigorating and, as the number of students increased, so did requests for a wider variety of courses. As early as 1923, the School offered instruction in accounting, library work, and glass blowing. Each year showed new additions to the course list. Mathematics, French, writing and editing, nutrition, geography, research methods, and history all appeared in the catalog during the

twenties as supplements to the scientific fare.

By 1935, the transition away from a predominately scientific curriculum was so well advanced that only 10 out of 41 courses dealt with such things as biology and chemistry. The remainder of the offerings ran the gamut of the humanities and social sciences.

In 1935, statistics made an especially strong showing with 223 enrollees. But the hit of the academic year was a new addition called "Elements of Personnel Administration." It was, frankly, an experiment. The Graduate School's Director, A. F. Woods, knew there was a demand for it; but, lacking precedent, he was uncertain how to proceed. Finally, after consulting experts in Washington, he decided to offer a trial series of 10 weekly lectures limited to 250 registrants. Within a week of the announcement, over 800 applications flooded the Graduate School offices, more than the combined enrollment for all other courses that semester. Clearly, Woods had tapped a gold mine of student interest and he worked it assiduously, making public administration one of the School's strongest subjects.

By 1940, enrollment in all courses had shot up to 3,000 students and the number of courses hit 130. Noting the flurry of activity and the results it produced, Leonard White, professor of public administration at the University of Chicago and a former Civil Service Commissioner, called the school "one of the foremost training institutions of its kind in the world."

On December 7th, the year after White registered his praise, bombs shattered the American fleet at Pearl Harbor and the educational tempo at USDA became furious. Along with its other calamities World War II caused massive disruptions in the Government as employees joined the forces and agencies geared for wartime activity.

One immediate need was for new training programs and the Graduate School stepped in to fill the breach. Acting on suggestions by the Department's Personnel Office, the Civil Service Commission, and the National Roster of Scientific and Professional Personnel, the school established seven training courses in April 1942. These were quickly filled by large numbers of Government workers. Nearly 1,400 students enrolled in the War Training Courses during the 1942-3 academic year, a year that now lasted a full 12 months, right through the sweltering, nonair-conditioned Washington summer. Altogether, enrollment in 1942-3 increased to nearly 8,700. Of that number, 5,000 were Federal employees.

The Graduate School's dramatic expansion continued after the

war, though there was some slack following the 1942-3 peak. In 1959, registration reached 7,000 for the first time since the War and in the 1962-3 academic year, enrollment moved past the 10,000 mark to a new high of 11,618.

By now, the school had obviously gone far beyond its original intention of supplying advanced training to USDA scientists. It served students throughout Government and, occasionally, in nongovernment establishments; its courses ranged from serious to recreational.

But the beginning purpose of advancing the professional education of USDA personnel had not been forgotten. Resident staff members could still get high-level technical training after working hours; and, through a growing system of correspondence study, field workers, often in isolated communities, could have some of the same advantages.

The first correspondence course, offered in late 1939, dealt with biological statistics. Like many previous Graduate School ventures, it was an experiment. But it met the needs of one of the Department's bureaus and its success led to the establishment of a small—still basically experimental—program in 1943. Six years and several committees later, a system of correspondence courses was recommended to serve the Department's entire field force.

Gradually the program expanded, acquiring a full-time staff worker by 1963 responsible for maintaining records and facilitating communication between teachers and students. As with other Graduate School activities, the correspondence program began to serve non-USDA personnel. Courses in meteorological analysis and prediction appeared in the early sixties aimed at Weather Bureau field employees and taught by a member of the Bureau's Washington office. That year, 1,386 correspondent students enrolled in 23 courses and, by 1970, the program served students around the world, including more than 250 foreigners employed by the U.S. Department of State.

The Graduate School complemented its evening and correspondence programs in the late fifties with so-called "special courses," normally taught during working hours and designed to meet the specific needs of any agency or group of agencies. This new development had its genesis in the Government Employees Training Act of 1958, intended to encourage Federal employers to provide staff training.

Moving quickly after passage of that law, the Graduate School

created its Special Program Department (SPD) and a Special Program Committee responsible for planning, conducting, and evaluating course offerings. The Committee was—and still is—designed to respond rapidly to requests for tailor-made programs serving groups of employees anywhere in the United States.

The SPD has had its greatest success in providing training for Federal executives. It began its activities with courses in automatic data processing and management and contract negotiations, but soon branched out into other fields. Top-echelon civil servants tend to be a specialized lot, not necessarily a desirable characteristic in men who make policy. Recognizing that decision-makers should have a variety of information and experience, the SPD established a small discussion seminar on Critical Issues and Decisions. It brought together members of the governmental and academic worlds in the hopes of helping Federal executives acquire a new and better perspective.

Since 1968, the School has also offered an intergovernmental seminar for Federal and State executives that attracts top personnel from across the country who want to discuss problems and exchange ideas. Participants come from a variety of backgrounds and include people who have taken part in policymaking at the highest levels of Government such as Presidential and senatorial assistants.

Word of the Graduate School's interest in public administration spread eventually to the International Cooperation Administration (ICA), predecessor of the Agency for International Development (AID). In June 1960, when the Congo received its independence from Belgium, the U.S. Government gave the new Republic 300 scholarships to be used for various types of training. The following spring, the ICA asked the Graduate School about the possibility of setting up administration courses for Congolese government officials. The classes, initially taught entirely in French, began in July 1961.

After the first of these ventures, the school established other courses for foreign nationals, usually in various aspects of public administration and usually in cooperation with AID or the land grant colleges. Over the past 11 years, most of the registrants have attended from African and Southeast Asian nations. But students from Europe, South America, the Caribbean, and the Far East have also participated.

Outside the administrative field, the Graduate School in recent years has provided a 12-week in-service training program in soil salinity and reclamation for qualified foreign trainees. This course is

offered four times annually at the U.S. Salinity Laboratory at Riverside, California.

In the late sixties, the school balanced its somewhat heady involvement with high-level civil servants and foreign government officials by making an increased commitment to meeting the needs of middle and lower grade Federal employees. That commitment, which gained institutional reality with the creation of an Individual Learning Center, benefited greatly from the invention of several new learning tools. Foremost among these was the Auto-Tutor, based on the educational ideas of Harvard psychologist, B. F. Skinner. Using teaching machines and programmed texts, students learn at their own pace without the competitive stress that often hinders education in the traditional classroom situation. Acting as an occasional aid and trouble shooter, the teacher is free to deal with the specific individual problems.

At the same time, the Auto-Tutor, if need be, can cater to a very small group—even a single person can have a private class—and because it is a completely self-contained individual instruction unit, it allows students in different subjects to study simultaneously in the same classroom. It has proved an economical and exceptionally effective way to get across the fundamentals of a discipline, and the Individual Learning Center has used it extensively to teach such courses as elementary statistics and beginning computer programming.

Educational tape cassettes have also been a boon. These give shorthand, typing, and reading students many of the same advantages of individualized, self-paced instruction. Through courses employing the cassettes, the Individual Learning Center has been able to upgrade the level of Federal clerical and secretarial skills, help individuals move up the job ladder, and aid people in acquiring necessary vocational English skills.

Tedious as this recital of course offerings, enrollment figures, and activities may be, it illustrates the changing nature of the Graduate School during the past 50 years. The theme today is continuing education for a wide variety of private citizens and Government employees at the Federal level, and occasionally at the State and even the international level as well. The school is no longer intended simply to help a few Washington professionals acquire bachelor or post-graduate degrees.

The change has been as much one of proportion and context as anything else. There are more college-level courses today than there were 50 years ago. But, given the school's expansion toward a larger,

more inclusive audience, college education *per se* now plays a relatively minor role.

In the long run, course listings actually come nowhere close to telling the whole story about an educational institution. At least as important is the quality of the faculty, and the Graduate School has always been particularly aware of this fact of life. Since it is not a degree-granting body, acceptance of its training by universities, the Civil Service, and nongovernment employers depends largely on the school's reputation for quality instruction—and that translates into a matter of staff ability.

The three great sources of the Graduate School's faculty were all represented the first year. Most of the instructors in 1921 worked for the Department of Agriculture; two came from universities, and one from another Government agency.

Throughout the twenties and early thirties, the Department remained the largest single reservoir of faculty talent. With the school's expansion, however, the pattern started to change as teachers from other Government agencies began showing up in increasing numbers. They came from a variety of agencies, both civil and military: Interior, Bureau of Standards, Public Health Service, the Navy, the Army, the Smithsonian Institution, Works Progress Administration, Federal Reserve Board, and the Library of Congress. Similarly, an increasing number appeared from local universities: Maryland, George Washington, American, and Johns Hopkins.

Enlightened self-interest has drawn some faculty members, especially in the early days. Pioneer teachers such as Henry Taylor and economist-statistician, O. C. Stine, faced the alternatives of teaching in the school or tolerating a staff that was professionally ill-equipped.

In other cases, the chance to scout for new employees has had something to do with a teacher's decision to join the faculty. The Graduate School Council has always sought instructors capable of teaching the subjects that they use professionally. And the Council's proclivity in this respect can be conclusive to the job transfers that occasionally result when an alert instructor with a vacancy in his office finds a bright student looking for a change. One teacher reportedly went so far as to keep a file on his former students, the better to refer them to job openings that he heard about.

The school's student body has been heterogeneous since at least the thirties, offering something to suit the tastes of nearly any qualified instructor. Registrants range from people who never

finished high school to lawyers, doctors, and Ph.D.s. They represent most age groups, races, and a variety of nationalities, and have come specifically to learn, whether or not they are seeking degrees.

One faculty member, who previously worked at Columbia and went on in later years to become President of Miami University in Ohio, recollected that the seminar in public administration he taught at the Graduate School in '44 and '45 was as good, if not better, than those he had held at Columbia. "I recall the pleasure of conducting this seminar," he subsequently wrote, "because our general practice was to exchange information about administrative experiences in Government service and then to relate these to general knowledge about the field of public administration."

Rewards like these have been the principal attractions for teachers. But, interestingly enough, some of the faculty have also found the School conducive to research and publication.

The school has usually held one major lecture series each year on contemporary problems and they have proved a fertile source of publications. In the very early forties, three books appeared in this connection and, predictably enough, all dealt with the War. By 1942, participants in the lecture series were already beginning to worry about the peace. That year, the Graduate School Press published **WHEN THE WAR ENDS, WHAT?**

Peace was an even bigger and more immediate problem in 1945 when the Graduate School scheduled its series on the post-War situation. Shortly after V-J Day, the lectures began. They included contributions by Sir Wilmott Lewis, Nathaniel Peffer, Pitman Potter, Jacob Viner, Hanson Baldwin, Derwent Whittlesey, James Fulbright, and Andre Geraud. The School published this symposium under the title, *Organizing for Peace*.

The changes that have taken place in the Graduate School since 1921 have turned it into a very different kind of institution than it was initially. In sheer numbers, it has grown enormously—from 177 students and eight teachers to an estimated 18,000 registrants this academic year and a faculty of about 600, from a collection of USDA conference rooms to teaching facilities in more than 60 buildings around the Washington area. Its programs extend beyond the Nation's Capitol and include classes in the Midwest and on the west coast; and, via the correspondence program, it now reaches students throughout the world.

The most important change, however, has already been touched upon in this account, and it is not one of physical expansion, but

rather the shift away from graduate instruction. The School's impetus now is toward providing study that will be of immediate use to a wide variety of people. In 1921, the concentration on science and concern with the post-baccalaureate education of professionals reflected current attitudes in the Department of Agriculture. As attitudes changed, the school enlarged its scope, first to include Federal workers in other agencies and then, just as surely, to give increasing attention to the needs of nonprofessionals. The result of this process has been today's program of continuing education designed to include instruction for clerks as well as post-doctoral professionals.

Yet, notwithstanding the changes that have occurred, the Graduate School today maintains some striking similarities to the Graduate School of the past. It remains a self-supporting body and preserves its special relationship to the Department of Agriculture—connected with the agency but not a part of it. These two factors have done much to guarantee the School's independence, allowing it to offer a flexible response to a wide variety of demands from individuals and Government agencies. Flexibility, in fact, has been a principal key to the school's success throughout its history. Depending as it does on student fees, it must offer courses that are worthwhile to participants or else close its doors. Its accomplishments in the future, will continue to be measured by the relevancy of the educational opportunities it provides.





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